



Requirements Specifications for the Student Financial Assistance Electronic Records Management System

Task Order No. GSA-4692-18

February 12, 2001

Prepared by Electronic Data Systems
13600 EDS Drive
Herndon, VA 22071

This document includes information that shall not be disclosed outside the Government or its Modernization Partner, Accenture, and shall not be duplicated, used, or disclosed—in whole or in part—for any purpose other than to evaluate the enclosed information. If, however, a task is awarded to this offer or as a result of, or in connection with, this information, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting task. All data in this document are subject to this restriction.

Table of Contents

1. Introduction.....	1-1
1.1 Document Organization.....	1-1
1.2 Project Description.....	1-2
1.2.1 General Background	1-2
1.2.2 Modernization.....	1-3
1.2.3 Electronic Document Management System.....	1-3
1.3 Project Purpose	1-3
1.4 Assumptions and Constraints.....	1-4
1.5 Interfaces to External Systems	1-4
1.6 Requirements Approach.....	1-5
1.7 Points of Contact	1-7
1.8 Document References	1-7
2. Business Functions and Requirements.....	2-1
2.1 Functional Process Summaries	2-1
2.1.1 Student Services	2-1
2.1.2 School Services.....	2-1
2.1.3 Financial Partner Services.....	2-2
2.1.4 Performance Management	2-2
2.1.5 Enterprise Services.....	2-2
2.2 Business Requirements	2-3
2.2.1 Student Services	2-3
2.2.2 School Services.....	2-3
2.2.3 Financial Partner Services.....	2-4
2.2.4 Performance Management	2-4
2.2.5 Enterprise Services.....	2-5
2.3 Business Requirements and System Functionality	2-5
3. Functional Requirements	3-1
3.1 Primary System Functions	3-1
3.1.1 Filing Documents and Records	3-1
3.1.2 Classifying	3-1
3.1.3 Indexing	3-2
3.1.4 Storage	3-2
3.1.5 Screening.....	3-2
3.1.6 Search and Retrieval	3-2
3.1.7 Copying/Transferring.....	3-3
3.1.8 Disposition.....	3-3
3.2 Detailed System Requirements	3-4
3.2.1 Filing Documents and Records	3-4
3.2.2 Classifying	3-5
3.2.3 Indexing	3-5
3.2.4 Storing.....	3-5
3.2.5 Screening.....	3-6

3.2.6	Search and Retrieval	3-6
3.2.7	Copying/Transferring.....	3-7
3.2.8	Disposition.....	3-7
4.	Other System Requirements	4-1
4.1	Primary System Functions	4-1
4.1.1	Security	4-1
4.1.2	Audit.....	4-2
4.1.3	System Support Functions	4-2
4.2	Detailed System Functions	4-3
4.2.1	Security	4-3
4.2.2	Audit.....	4-3
5.	Requirements Gathering Issues and Findings	5-1

Attachments

Attachment A	Requirements Traceability Matrix.....	A-1
Attachment B	SFA Metadata Requirements	B-1

Executive Summary

This document identifies functional requirements for the U.S. Department of Education (the Department), Student Financial Assistance (SFA) Electronic Records Management System (ERMS). These requirements were compiled as a result of interviews conducted within SFA and with information contained in the Department of Defense (DoD) 5015.2 standard for electronic records management systems.

The document summarizes core system functions needed for implementation of the SFA ERMS. The system shall be built using commercial-off-the-shelf (COTS) products that will be configured and customized for SFA. These requirements will also serve as the basis for designing the system and tailoring the selected COTS product to meet the needs of SFA.

The SFA ERMS will improve the efficiency of the SFA operations by converting a large amount of back office paper documents currently maintained at its headquarters to an electronic format. Authorized users will also have the capability to store electronic files by saving these files in the ERMS.

This system will perform records management functions for all electronic documents based upon the General Records Schedule and the Department of Education Records Schedule. Through the ERMS, authorized users will have the ability to search and retrieve these documents online. Documents will be filed and retrieved based upon established document classifications and indexes. The system will also support searches on document content. The resulting ERMS will improve both document access and management control.

SFA is scheduled to move its headquarters to a new facility on August 1, 2001, and the implementation of an ERMS will minimize the need to transport paper documents to the new location. The initial implementation of the SFA ERMS will address the immediate needs of SFA within its headquarters operations. Future efforts will address deployment of the ERMS solution to the SFA regional offices.

1. Introduction

This Requirements Specification Document for the U.S. Department of Education (the Department) Student Financial Assistance (SFA) Electronic Records Management System (ERMS) project is a detailed description of the functional requirements that the solution is intended to satisfy. The document contains seven key sections and appendices that comprise the baseline set of requirements for the SFA ERMS. The organization of the document is described below.

1.1 Document Organization

Section 1^{3/4} Introduction provides a brief overview of the project and describes assumptions, constraints, and interfaces that are pertinent to the development of the SFA ERMS. Also included in this section are points of contact for the project and document references for the requirements gathering phase.

Section 2^{3/4} Business Requirements provides a high-level description of the business requirements that the ERMS addresses for SFA. The business requirements provide a starting point for addressing the functionality required in the system. The business requirements will feed into the functional requirements. The business requirements relate the system requirements to the high-level business needs of the organization.

Section 3^{3/4} Functional Requirements describes the primary and detailed system functions and requirements that make up the SFA ERMS.

Section 4^{3/4} Other System Requirements contains several subsections with non-business requirements that are pertinent to the implementation of the system. These subsections cover important requirement areas such as security, audit, and system support.

Section 5^{3/4} Requirements Gathering Issues and Findings contains information pertaining to key findings and issues that warrant further action by SFA. Although in most cases these issues are outside of the scope of this initial requirements gathering phase for the SFA ERMS, this information is important to document as SFA moves forward with their plans for implementing records management.

Attachment A^{3/4} Requirements Traceability Matrix contains a table that provides a method for tracking the functional requirements and their implementation through the development and testing process.

Attachment B^{3/4} Business Data Requirements lists the backlog of paper documents that will become part of the SFA ERMS during this initial implementation, together with the profile information for these documents. This profile information will be used as indices for future searching, sorting, and retrieval of the documents. The data management requirements for the documents to be included in the SFA ERMS are also included in this section. These

requirements will become the baseline for implementing records management within the SFA ERMS.

1.2 Project Description

The SFA ERMS project is designed to improve the efficiency of the SFA operations by use of an enterprise-wide document and records management solution. Documents will be captured automatically by system users or via a scanning process, placed in a searchable records/document management system, made accessible to those who have the appropriate security authority, and safeguarded according to SFA policy. Implementation of the solution developed will modernize the process of generating, managing, using, storing, securing, and disposing of hard copy and electronic documents.

1.2.1 General Background

The Office of Student Financial Assistance Programs is one of the program offices with the U.S. Department of Education (the Department). In 1998 the Reauthorization of the Higher Education Programs established the SFA as the Government's first performance-based organization (PBO) to administer the Student Financial Assistance programs at the Department. As the responsible body for managing the delivery of Federal student financial aid the SFA mission is to help put America through school. They administer several major student aid programs, including Pell Grants and Stafford Loans. The financial aid programs provide approximately \$54 billion of financial aid each year to college students.

The SFA has headquarters in Washington, DC, and regional offices in various parts of the country. There are five critical functions in the SFA business activities. These are Student Services, School Services, Financial Partners Services, Performance Management, and Enterprise Services. The organizational structure that carries out these functions currently consists of the following twelve channels:

1. Analysis
2. Chief Financial Officer
3. Chief Information Officer
4. Chief Operating Officer
5. Communications
6. Contracting and Acquisitions
7. Financial Partners
8. Human Resources
9. Ombudsman
10. Schools
11. Students
12. SFA University

1.2.2 Modernization

SFA is currently making extraordinary efforts to improve and reengineer their business processes and computer systems. They have developed a Modernization Blueprint, which explains how they will achieve the improvements and the plans for modernizing SFA. SFA has chosen modernization partners to help identify and implement commercial best practices to improve services and cut costs. The organization seeks to achieve a major transformation of Federal student financial aid delivery. The SFA has the following three primary objectives, customer satisfaction, employee satisfaction, and lower unit cost. Modernization plays a major role in the transformation of SFA and the achievement of its objectives. SFA realizes that the key to its modernization is information technology.

1.2.3 Electronic Document Management System

Currently SFA is a paper-intensive operation, but it lacks an integrated solution for managing physical paper documents, both in the SFA organization itself, and between its student aid delivery systems. In addition, SFA is scheduled to move its headquarters operations to a new facility on August 1, 2001. SFA has tasked Electronic Data Systems (EDS) to develop an electronic records management system to handle its electronic and paper document management needs. A crucial part of this effort consists of converting a large inventory of paper documents to digital format for input into the new system.

The approach for this project is to provide SFA with a low-risk, tailored commercial off-the-shelf (COTS) solution. This project addresses SFA's immediate needs for an Electronic Document Management (EDM) and Electronic Records Management (ERM) solution for documents received in or generated by the Washington, DC, headquarters operations. The primary intent of the initial implementation of the SFA ERMS is to eliminate the need to transport all of its paper documents to the new location. Therefore, the objective is to have this backlog of paper documents captured and placed into a document management system prior to moving to the new facility. Future plans will include the integration of business support functions and workflow processes within SFA, together with the deployment of the ERMS solution to the SFA regional offices and integration with an enterprise-wide document management solution for the Department.

1.3 Project Purpose

From a business perspective, the purpose of this project is to address the SFA organizational needs for managing electronic and paper documents. The ERMS/EDMS solution provides functionality that will help SFA achieve their modernization goals of increased customer and employee satisfaction while reducing costs. The system will help eliminate SFA's dependency on paper documents, improve accessibility to SFA's information, and allow for more sophisticated means of requesting documents by attribute selection. This system is expected to improve job satisfaction within SFA by providing users with a more efficient and effective method of performing their jobs, such as providing more accurate responses to their customers more quickly and conducting trend analysis more efficiently.

1.4 Assumptions and Constraints

The following assumptions apply to the successful development and implementation of the SFA ERMS:

- SFA subject matter experts will be available to the development team as required throughout the life cycle of the project.
- No interfaces to the student aid delivery systems are included in this implementation of the system.
- The system will provide authorized users the capability to save their electronic documents in the ERMS manually once the system is implemented. Automatic submission of electronic documents will be addressed in a subsequent phase.
- Paper documents are inaccessible to the user while being converted. The turnaround time for converting paper documents to electronic ones will depend upon the scanning schedule once SFA begins this phase of the project.
- Documents stored in the SFA ERMS will only be accessible to SFA personnel according to assigned roles through the ERMS interface.
- Although the targeted system contains workflow capabilities, workflow is beyond the scope of this phase of the project and will be addressed in subsequent phases.
- The documents and records provided are based on the information provided by the subject matter experts for the channels during the requirements gathering interviews. It is assumed that the subject matter experts for each channel provided EDS with all of the documents to be included in this solution implementation.
- SFA will provide the technical environment, architecture, and infrastructure data and/or access to the appropriate sources for this information.
- The functional requirements do not require inclusion of additional software developed outside of the DoD 5015.2 required functionality.

The following constraints apply to the successful development and implementation of the SFA ERMS:

- The components used for Record Management must be DoD 5015.2 certified.
- The system must be compatible with MS Windows NT 4.0, MS Internet Explorer, MS Outlook, and MS Office software products.
- Functionality is limited to that which exists in the DoD 5015.2 certified ERMS products and the available EDMS products.

1.5 Interfaces to External Systems

No interfaces to other existing systems are included in this implementation of the SFA ERMS, although the system will provide authorized users the capability to save their electronic documents, created in standard desktop applications, in the ERMS. Users will have the

capability to save an electronic document to the SFA ERMS, together with the selection of appropriate profile information according to records management requirements. Interfaces to other systems have been discussed as an enhancement for future implementations.

1.6 Requirements Approach

The development of the SFA ERMS will follow a structured information engineering methodology for COTS integration. The methodology emphasizes active customer participation throughout the requirements phase. Requirements gathering comprises activities defining the functional and data requirements for the system. Products prepared during this phase include this Requirements Specification document, a Records Management Handbook, Vendor Evaluation Report, and an Inventory Control Report. This document is the primary deliverable in the Requirements phase. The heart of the approach is the use of interactive sessions, where the customers are brought together with EDS integrators to gather, define, and validate overall requirements and ensure that the ERMS meets their needs. The activities performed for this phase are as follows:

- **Gather Requirements.** Several activities are performed to prepare for the customer interview sessions and identify the requirements for validation. The activities performed to gather requirements include:
 - **Review Documentation.** To make effective use of previous efforts and existing industry information, documentation pertaining to SFA policies and procedures, functions, and information needs is reviewed to obtain information. The document review is conducted initially to develop preliminary requirements. In addition, industry documents on electronic document management and electronic records management may be reviewed and/or referenced to clarify issues, resolve questions, and describe procedures.
 - **Conduct Initial Interviews.** To gather preliminary requirements and information to plan for the Requirements phase, initial interviews are conducted. Key participants are identified and asked a preliminary set of questions. This information is then used to help identify candidate requirements and plan the remainder of activities and time frames for the phase.
- **Identify Customer Business Model.** Review of existing documentation regarding the SFA environment and initial interviews help to identify the customer business model to which we will tailor the solution. Continued identification and understanding of the business model will occur throughout the Requirements phase.
- **Identify Candidate Requirements.** Candidate requirements are determined by reading existing documentation and from preliminary discussions with the customer during the initial interview sessions. These candidate requirements are used to start the development of the requirements specification, and they are explored further during the formal requirements gathering interviews, customer working sessions, and other activities that occur during this phase.

- **Develop Interview Questionnaires.** Questionnaires are developed that contain questions for all of the environment, document, process, and other information EDS will need to develop the solution. The questionnaire is distributed prior to the formal interviews so that the customer can research answers and prepare adequately for the interview discussions. The completed questionnaires are collected and used as guides for EDS in proceeding with the interviews.
- **Conduct Requirements Gathering Interviews.** Interviews and interactive sessions with the customers are conducted. The questionnaires are validated and completed. Any issues, document information, and other information regarding the needs that this solution must address are discussed and documented.
- **Develop and Validate Requirements.** Once the requirements are prepared, the EDS team prepares the Requirements Specification Document and presents their research and analysis results to the customer. The customer reviews the requirements document and identifies any required updates.
- **Baseline System Requirements.** Once the reviews are completed, EDS makes the necessary changes and submits the Baseline Requirements Specification. Unresolved issues, questions, requests for clarification, and assumptions that arise will be documented together with the person(s) responsible for resolving the item. The baseline requirements document is distributed to the customer. Subsequent system design and development efforts are based on, and will eventually be evaluated by, this requirements document.
- **Manage Changes to System Requirements.** Changes to the baseline system requirements may be required. The tasks performed to manage changes to the baseline system requirements are Receive Change Requests and Incorporate Changes. These activities, performed during the remainder of the requirements phase, are described below:
 - **Receive Change Requests.** Once the system requirements have been baselined, any change (addition, modification, or deletion) to the user requirements must be submitted via a change request, and reviewed and approved by the SFA Configuration Control Board (CCB). The CCB is a decision-making body that is composed of representatives from the user community and the EDS ERMS team. The membership and operating procedures of the CCB will be documented in the Configuration Management Plan.
 - **Incorporate Changes:** CCB-approved change requests will be forwarded to the EDS team for inclusion in the system requirements. Modifications will be made according to established procedures.

The system design activities are initiated prior to the conclusion of the Requirements phase. The EDS team will prepare the system solution according to the baseline requirements document. As stated above, all future enhancements, corrections, and updates to the requirements will be incorporated when approved by the CCB.

1.7 Points of Contact

The following exhibit depicts the major participants in the SFA ERMS project.

Name	Title	Phone
Opal Mooney	EDS Project Manager	202-414-4770
Timothy O'Connell	EDS Senior Engineer	202-414-4830
Frank Nemeth	EDS Advanced Systems Engineer	202-414-4785

Exhibit 1, Team Personnel

1.8 Document References

The following documents were used as references during the development of this document:

Functional Baseline Requirements and Data Elements for Records Management Application Software, Capt. Daryll R. Prescott, USAF DoD Records Management Task Force; William Underwood, Ph.D., Artificial Intelligence Atlanta, Inc.; LTC Mark Kindl, USA, Army Research Laboratory Software Technology Branch, August 28, 1995.

Design Criteria Standard for Electronic Records Management Software Applications, Assistant Secretary of Defense for Command, Control, Communications, and Intelligence, November 1997.

Electronic Recordkeeping System (ERKS) Requirements for Information Management System Certification for the Central Intelligence Agency, July 25, 2000.

Functional Requirements for Electronic Records Management Systems, Public Record Office, The National Archives of the United Kingdom, November 1999.

U. S. Department of Education Records Disposition Schedules, Office of the Chief Information Officer, Information Management Group, Revised December 1998.

General Records Schedules, National Archives and Records Administrations, December 1998.

2. Business Functions and Requirements

This section briefly presents SFA's high-level business requirements related to this project. The SFA Modernization Blueprint is the basis of the requirements presented here. The information is presented using the business model defined in the SFA Modernization Blueprint. The subsections below are organized according to the five critical functional areas of the business model, which are Student Services, School Services, Financial Partner Services, Performance Management, and Enterprise Services. These categories are functional areas and do not represent an organizational structure. The subsections below contain summaries of the functional process information provided in the Modernization Blueprint for each of the five areas and a discussion of the high-level business requirements that the ERMS solution addresses for SFA.

2.1 Functional Process Summaries

2.1.1 Student Services

Student Services provides students with access to aid application information, forms, and account data. It facilitates coordination of relationships with lenders, schools, guarantors, state agencies, and SFA to provide a consolidated view for each student to interact with education service providers with greater ease. This function provides the following services:

- Access to financial planning information and tools
- Debt management counseling
- Increased awareness of financial aid availability to target markets
- Access to application forms
- Disbursement of funds
- Repayment information and services

The three primary processes of this function are Aid Awareness, Aid Application, and Loan Repayment. The Aid Awareness process identifies and educates potential program participants on the available financial aid programs. The Aid application process makes aid applications available to students and collects, organizes, and verifies application information. The Loan Repayment process provides the following services for students, exit counseling, repayment collections, invoices, processing of loan consolidation requests, and collections on defaulted loans, and provides various payment methods.

2.1.2 School Services

School Services manages the relationship with schools. It evaluates the schools' effectiveness in managing Federal funds and in achieving the performance-based outcomes as defined by SFA. Other services provided include financial transaction processing, training and education, and program/eligibility reviews. The main processes this function performs for Schools are:

Program Eligibility, Program Support, Financial Transactions, and Aid Origination and Disbursement. Program Eligibility evaluates the schools' administrative capabilities and needs, certifies them, and determines their participation levels for Title IV programs. It also discontinues eligibility as needed. Program Support trains and educates schools on regulatory requirements, and provides technical support and collection/maintenance of program information. Financial Transactions coordinates the execution of financial activities at the school level. Aid Origination and Disbursement authorizes and releases funds to schools and receives and confirms eligibility information.

2.1.3 Financial Partner Services

Financial Partners Services supports lenders and guaranty agencies in delivering aid to students. It receives information from, and provides it to, aid organizations and student participants. Services provided include the following: training and education, eligibility process, updates to information, financial transactions, and analysis/review of program performance. The main processes this function performs for Financial Partners are Program Eligibility, Program Support, and Financial Transactions. Program Eligibility determines program eligibility for financial partners and activates/deactivates their eligibility. Program Support assists and trains financial partners on program changes and guidelines. Financial Transactions manages the flow of funds from SFA to financial partners and distributes payments to lenders and guaranty agencies.

2.1.4 Performance Management

Performance Management collects and analyzes performance information. It also provides a tool-set to link SFA's vision, strategy objectives, and key performance measures. The three processes of Performance Management are Customer Satisfaction Management, Employee Satisfaction Management, and Financial Management. Customer Satisfaction Management identifies customer and partner needs and satisfaction levels, gathers data, and identifies customer trends, performance gaps, and opportunity areas. Employee Satisfaction Management identifies employee concerns, responds to employee feedback, facilitates improvement goal setting and monitors progress against the goals. Financial Management manages the flow of funds between students, SFA, schools, financial partners, and other Government agencies.

2.1.5 Enterprise Services

Enterprise Services contain several functions that improve the way SFA manages its people, technology, facilities, and vendor relationships. It performs Human Resource Management, Information Technology Management, Facilities Management, and Contract and Acquisition Management across SFA's operation. Human Resources Management addresses the people challenges by aligning the organization with defined performance objectives, developing a competent workforce that is able to perform, supporting the workforce performance efforts, and reinforcing the workforce efforts and performance results. IT Management enables prioritization of investments, purchases the correct technology, operates and maintains the systems, keeps pace with new technology and requirements, and ensures that the systems have common standards, are secure, and integrate and interface with channel partners. Facilities Management coordinates the physical workplace and ensures that procedures are fixed and that mobile assets are

inventoried, insured, and meet or exceed codes. Contracts and Acquisition Management identifies, selects, partners, and manages external vendors and suppliers who supply goods and services to SFA.

2.2 Business Requirements

As previously mentioned, the Modernization Blueprint defines business requirements for SFA. Some of those high-level requirements are addressed either directly or indirectly by the ERMS solution being developed by EDS. Those requirements have been summarized and/or paraphrased as they relate to this project. High-level requirements that are related to the ERMS solution were derived from those presented in the Modernization Blueprint by summarizing and/or paraphrasing the business requirements so that the context that relates to the ERMS solution is identified and documented for the purpose of this project. The primary high-level business requirements derived for each of the five functional areas are listed in the sub-sections below.

2.2.1 Student Services

The Student Services function shall:

- Provide up-to-date information for students.
- Coordinate and exchange information with external partners to improve service delivery to students.
- Manage consolidation loan information.
- Receive and/or obtain information, notices, inquiries, orders, applications, requests, other documents, etc. from various applicable sources (i.e. students, parents, Department of Education divisions, Government agencies, external partners, etc.).
- Organize and verify information as it is received, obtained, and/or submitted.
- Provide, supply, disseminate and/or send information, notices, publications, applications, disclosures, etc. to various applicable recipients (i.e. students, parents, external partners, etc.).
- Coordinate and maintain information, requests, applications, documents, etc. that are received, obtained, or submitted from various applicable sources.

2.2.2 School Services

The School Services function shall:

- Achieve paper-less interaction between SFA and schools.
- Provide up-to-date information and assistance for schools.
- Coordinate and exchange information with external partners to improve service delivery to schools.
- Exchange information between SFA and Title IV schools.

- Receive, collect and/or obtain information, school funds disbursement records, letters, appeals, notices, requests, other documents, etc. from various applicable sources.
- Coordinate and maintain information, requests, applications, documents, etc. that are received, obtained, or submitted from various applicable sources.
- Review, analyze, process, and evaluate information to accomplish school services activities and tasks.

2.2.3 Financial Partner Services

The Financial Partner Services function shall:

- Allow financial partners to communicate with and obtain information from SFA quickly and easily.
- Provide up-to-date information and assistance to financial partners.
- Coordinate and exchange information with external partners to improve service delivery to financial partners.
- Receive, collect and/or obtain notification of applications, Lender Participation Questionnaires, reports, reviews, profile, information, etc.
- Manage information distribution with guaranty agencies, lenders, and service providers and Federal LEAPP information.
- Disseminate information regarding issues that impact the financial industry.
- Maintain financial partner profiles, program reviews, and audits that are performed external and internal to the Department and reinsurance claim information received from guaranty agencies.

2.2.4 Performance Management

The Performance function shall:

- Maintain a system to store accumulated customer information that can be shared across the organization and with partners.
- Identify through the Ombudsman how information will be received, reviewed, and cataloged from student, parents, and others.
- Collect customer satisfaction information and preferences. Common methods of collection include mail, telephone, and in-person surveys, focus groups, conferences, and others.
- Provide financial information in a timely and useful fashion.
- Maintain school disbursement ledgers, aid program allotment information, collection records, etc.
- Receive allotment information, collection records, etc.

2.2.5 Enterprise Services

The Enterprise Services function shall:

- Provide improved access to the information needed to serve student, schools, and financial partners.
- Accept and process electronic resumes/applications.
- Draft and finalize the requests for proposals (RFPs).
- Distribute RFPs for internal review.
- Track and incorporate comments and distribute revised RFPs.
- Receive, evaluate, and analyze proposals.
- Distribute information and document updates.

2.3 Business Requirements and System Functionality

In the five functional areas, many of the business requirements deal with accessing, managing, and processing information quickly and efficiently. The ultimate goals are to increase customer and employee satisfaction while reducing cost. Much of the information that is input to or output from the functions is in the form of electronic and/or paper documents. ERMS/EDMS have a host of features and functions to improve the work processes related to documents and records in an enterprise. These features and functions offer many benefits of which the following are the primary benefits:

- Increased efficiency and productivity
- Reduction of storage space
- Increased security and safety
- Reduced cost, and
- Controlled record management that meets Federal regulations.

The ERMS/EDMS solution will enable SFA to receive, manage, retain, dispose of, and send out information in a timelier manner and at reduced cost. The elimination of paper documents will cut down on the storage space needed for hard copies as well as reducing the cost associated with that storage. Employees will be able to access documents more quickly with the search and retrieval capabilities offered by the system. Records can be retained and disposed of in a manner that is more accurate and more cost effective with the records disposition scheduling, retention, and disposal features. Security and document integrity are also increased because of the features that only provide access to those who are authorized to access the documents, and prevents unauthorized updates and/or deletions of documents. Employees can feel assured that the documents are being managed with proper security and maintained according to Federal regulations. Coupled with the benefit of finding information faster, thus increasing their productivity and accuracy, employee satisfaction levels are sure to rise. Since employees will be able to perform their duties quicker and more accurately, they are sure to provide better customer

service, thus increasing customer satisfaction. Greater productivity, less time performing tasks, and reduced storage space are sure to result in an overall reduced cost for SFA as a result of implementing the ERMS solution.

The next section discusses the ERMS system functions and requirements, and provides detailed information on the features and functions that address the business requirements presented.

3. Functional Requirements

The SFA ERMS shall provide SFA with a central repository to store documents and records and an automated mechanism to access and retrieve these documents. This system shall serve as an official records management system, whereby documents will be maintained and undergo disposition according to official records management schedules. The following subsections describe the primary system functions and detailed system requirements for the implementation of the SFA ERMS.

3.1 Primary System Functions

The system shall provide the ability to scan paper documents and provide an interface to the central repository where these documents will be stored. The system will also allow users to save their electronic documents into the ERMS. During the scanning process documents are assigned a file tag which corresponds to the file code in the file plan. The file tag identifies to the system the disposition requirements. Once the documents are stored in the ERMS, the system will provide the ability for authorized users to access and retrieve these documents. Each document will be assigned key indexing fields, or metadata elements, that will facilitate the search and retrieval of these documents. Finally, the system will manage the final disposition records according to the General Records Schedule or the Department Records Schedule. These basic system functions of an electronic records management system are described in more detail in the following subsections.

3.1.1 Filing Documents and Records

Documents must first enter the system. This is accomplished by either scanning paper or saving an electronic file in the system. This process is the filing process. Once a document that has been identified as a record is entered in the system the remainder of its life is managed by the system.

The system identifies each record with a unique numerical identifier that cannot be edited or removed. In addition, each record is date stamped when it is created. That date stamp cannot be edited or removed. Records may not be changed or edited. When a record needs to be updated, the system will create a new version of the record, and it will be identified with a new number and date. Previous versions of a record may be linked to it in order to create a record history.

During the filing process documents and records will be classified and indexed.

3.1.2 Classifying

Documents will be classified according to the SFA file plan. The file plan is the systematic organization of SFA records. All documents must be filed according to the file plan. Records are identified, and a file tag is assigned to the document. This file tag maps to the records schedules which identify to the system how the record is to be managed through its life cycle.

The file plan is developed independently of the SFA ERMS. It is subsequently incorporated into the SFA ERMS along with the General Records Schedule and the Department Records Schedule.

The system will allow changes to be made to the file plan and to the schedules. Authorized individuals may also reclassify records.

3.1.3 Indexing

Documents are indexed by using key fields to identify them. The index information is used for search and retrieval of documents and records. The indexes should represent logical ways that a user would search for a document. The index should be simple and uncomplicated. Its purpose is to quickly identify a specific document for a user. Generally a couple of fields of key data will suffice. For example, a document from a student maybe indexed with the following information: Document Type, Date, Social Security Number, and Last Name. Accurate data entry helps to ensure that documents can be retrieved effortlessly. However, authorized users may edit these index fields so updates and corrections can be made.

3.1.4 Storage

An important part of a records management system is the repository, which is where the documents and their associated metadata are stored. Document storage can be a single central storage unit or multiple distributed units. While storage may be distributed among multiple locations, the repository and its components will fall under the complete control of the electronic records management system. The physical composition of the storage facility will be transparent to the end user. Distributed storage will appear to be a single seamless space.

Access to the repository is strictly controlled according to system security requirements. Strict security will only allow authorized users to delete items from the repository.

3.1.5 Screening

Screening identifies records based upon their file tag and schedule status. It is a reporting function for the Records Manager. Usually it is an automatic process. The system notifies the Records Manager about records that are due for final disposition as the cut-off period approaches for them. Records that have reached cut-off are frozen by the system. Changes to these records may not be made until a determination of their status is made. The Records Manager may reactivate a record or change its assigned disposition.

The Records Manager and authorized users have the ability to generate reports regarding the status of any record. By screening, the unscheduled records may be identified along with non-record materials in the system.

3.1.6 Search and Retrieval

The capability to retrieve a document is a basic system function. Documents can be located through either an indexed search or a free-text search. Each type of search has its advantages and disadvantages.

Indexed searches provide the capability to locate any document by querying the index values for the documents. Searches can be simple searches on a single key field or complex searches involving Boolean logic and wildcard characters. The advantage of this type of search is the speed and accuracy in locating the exact document needed. However, this search requires accurate classification and indexing of documents in order to be effective. In addition, the scope of the search is often limited.

Documents may also be presented in a tree and folder structure. This structure can be navigated using traditional Windows methods to locate a specific record. This presentation format is closely related to the traditional indexed search as it uses the values of the index fields to format the structure. The advantage to this search is the ability to browse folders to locate responsive documents and see related documents. However, this search can be slow and subject to error if documents are incorrectly indexed.

Free text searches on the contents of documents may also be performed. These searches are performed in a manner similar to searches on the Internet. A list of responsive documents is presented. Often a responsiveness score for each document is also given. The advantage of this type of search is the scope of search that may be conducted. Information that is not otherwise easily found may be located. This type of search needs carefully constructed queries. Often a large volume of documents is presented requiring further searches to narrow the original search. The search is also often slower due to the volume of information being queried.

3.1.7 Copying/Transferring

All records management systems provide capabilities to copy or transfer records to another location. Records may be transferred to media for off-line storage. Records may also be transferred to the National Archives and Records Administration (NARA) for permanent preservation.

When documents and records are being copied, the associated profile information (metadata) is linked to them and transferred with them. When transfers are made to NARA, they must be in a format that is approved by NARA.

3.1.8 Disposition

The screening process will notify the Records Manager when records are due for final disposition. Either the General Records Schedule or the Department Records Schedule determines the final disposition instructions. Temporary records are destroyed. Permanent records are transferred to the National Archives for preservation.

When records are ready for final disposition, the system will freeze those records until the disposition is confirmed. Final disposition will not take place automatically. The Records Manager must confirm that final disposition is to take place. If the final disposition is destruction, the system will write over the document with random numbers and letters so that the document and its profile cannot be recovered or reconstructed.

The system will not allow records that are not eligible for destruction to be destroyed. This is a safeguard to prevent accidental or willful destruction of records.

3.2 Detailed System Requirements

This section breaks out the basic system capabilities contained in Section 3.1 and depicts the specific system requirements pertaining to each function. The SFA Electronic Records Management System shall be DoD 5015.2-compliant. The following sections will list only those requirements that have been identified as vital to the needs of SFA with the understanding that the system will meet all the 127 mandatory requirements listed in the DoD 5015.2 specification. The parenthetical references following many of the requirements are references to the DoD 5015.2 specification of November 1997.

3.2.1 Filing Documents and Records

1. The SFA ERMS shall provide the capability for only authorized individuals to create, add, edit, and delete record categories, files, and their codes. Each file or category code shall be linked to its associated file or category and to its higher-level category code(s). (C2.2.1.1)
2. The SFA ERMS shall provide users with the capability to select and assign a file code to a record if the user chooses to save an electronic document in the system. (C2.2.2.1)
3. The SFA ERMS shall assign a unique computer-generated record identifier to each record. (C2.2.2.2)
4. The SFA ERMS shall not permit modification of the record identifier once assigned. (C2.2.2.4)
5. The SFA ERMS shall prevent changes to documents that have been designated as records. The content of the record, once filed, shall be preserved. Changed or revised records shall be designated as new records with different identification data. (C2.2.2.3)
6. In the process of scanning the backlog of paper documents within SFA, metadata fields shall be captured as part of the scanning process.
7. When a user saves an electronic document to the SFA ERMS, the system shall automatically date a document when it is saved as a record, and preserve the date of receipt on records received. This date shall remain constant, without being changed when the document is accessed, read, copied, or transferred. The ERMS shall not permit this data to be edited. (C2.2.2.18)
8. The SFA ERMS shall provide the capability to link supporting and related records and related information such as notes, marginalia, attachments, and electronic mail return receipts, as well as all metadata, to the record. (C2.2.2.15)
9. The SFA ERMS shall provide the capability for to bulk load (i.e., import) the following: (C3.2.2)
 - 9.1 File Plan (C3.2.2.1)
 - 9.2 Disposition Instructions and Codes (C3.2.2.2)
 - 9.3 Electronic Records (C3.2.2.3)

9.4 Record Metadata (C3.2.2.4)

3.2.2 Classifying

1. The SFA ERMS shall provide the capability to create, add, edit, and delete disposition instructions from the General Records Schedule or the Department Records Schedule and their associated disposition codes. Each disposition code shall be linked to its associated disposition instruction. (C2.2.1.2)
2. The SFA ERMS shall provide the capability to change a file tag assigned to a filed record. (C2.2.2.11)
3. The SFA ERMS shall be capable of scheduling each of the following three types of disposition instructions: (C2.2.5.2)
 - 3.1 Dispositions, where records are eligible for disposition immediately after the expiration of a fixed period of time. (C2.2.5.2.1)
 - 3.2 Event Dispositions, where records are eligible for disposition immediately after a specified event takes place. (C2.2.5.2.2)
 - 3.3 Time-Event Dispositions, where the retention periods of records are triggered after a specified event takes place. (C2.2.5.2.3)

3.2.3 Indexing

1. All documents, regardless of whether or not they have been designated as records, shall contain key indexing, or metadata fields, which will be entered into the system as part of the filing process.
2. The SFA ERMS shall (for each record) capture or provide the user with the capability to assign, as appropriate, metadata elements when the record is filed. (C2.2.2.5)
3. The SFA ERMS shall provide the capability for only authorized users to modify the metadata values of stored records that have not been specified as uneditable. (C2.2.2.20)
4. The SFA ERMS shall provide indexing capabilities that allow the user to search and retrieve documents based upon pre-determined indexing, or metadata elements. These data elements should represent to the user a common, logical way to access and retrieve documents.
5. The SFA ERMS shall store all metadata date fields in a date format that allows date range searching.
6. The SFA ERMS shall provide the capability to output for viewing, saving, or printing the record profile information (metadata). (C2.2.2.8)

3.2.4 Storing

1. The SFA ERMS shall include a repository for storing electronic records and prevent unauthorized access to the repository. (C2.2.4.1)
2. The SFA ERMS shall not alter nor allow alteration of records contained in the SFA ERMS. (C2.2.4.2)

3. The SFA ERMS shall preserve the format and content of the record as it was filed, and shall store a record with all its attachments. (C2.2.4.2)
4. Only authorized individuals shall have the ability to move/delete records from the SFA ERMS. (C2.2.4.4)

3.2.5 Screening

1. The SFA ERMS shall provide for viewing, saving, and printing list(s) of records within record categories based on disposition instruction code, record category or file code, and/or disposition event to identify records due for disposition processing. The information contained in the list(s) shall be user definable record profile attributes. (C2.2.6.1)
2. The SFA ERMS shall identify files scheduled for cutoff, and present them only to the authorized individual for approval. The system shall not allow any additions or other alterations to files that have reached cutoff. (C2.2.6.4)
3. Records that have been frozen shall be identifiable by the SFA ERMS, and authorized individuals shall have the capability to reactivate or change a record's assigned disposition. (C2.2.6.5)
4. The SFA ERMS shall provide for viewing, saving, and printing lists of records that have no assigned disposition. (C2.2.6.6)
5. The SFA ERMS shall, using the disposition instruction for the record category, identify and present records that are eligible for destruction. (C2.2.9.1)

3.2.6 Search and Retrieval

1. All documents in the SFA ERMS shall be retrievable by authorized users. (C2.2.7.1)
2. Using metadata elements as search criteria, the SFA ERMS shall allow searches using any combination of the metadata elements. (C2.2.7.1)
3. Users shall have the capability to specify partial matches for multiple word fields and designate "wild card" fields or characters. (C2.2.7.3)
4. The SFA ERMS shall allow searches using Boolean logic: and, or, greater than (>), less than (<), equal to (=), and not equal to (/=). (C2.2.7.4)
5. The SFA ERMS shall present the user a list of documents meeting the retrieval criteria, or notify the user if there are no records meeting the retrieval criteria. The information contained in the list shall be user definable from the set of record profile attributes. (C2.2.7.5)
6. The SFA ERMS shall provide to the user's workspace copies of electronic documents selected from the list of documents meeting the retrieval criteria in the format in which they were provided to the system for filing. (C2.2.7.6)
7. The SFA ERMS shall provide the capability to view each file in its stored format or its equivalent. (C3.2.17)

8. The SFA ERMS shall provide additional search and retrieval features such as full text search to assist the user in locating records. (C3.2.12)

3.2.7 Copying/Transferring

1. The SFA ERMS shall link the record metadata to the record so that it can be displayed when needed and transported with the record when a copy is made and transmitted to another location.
2. The SFA ERMS shall, using the disposition instruction for the record category, identify and present those records eligible for transfer. (C2.2.8.1)
3. The SFA ERMS shall copy the pertinent records and associated profiles to a user-specified filename, path, or device. (C2.2.8.2)
4. The SFA ERMS shall provide the capability for only authorized users to suspend the deletion of records and related profiles until a successful transfer has been confirmed.
5. The SFA ERMS shall provide the capability to move associated records and related metadata for each record approved for transfer.
6. The SFA ERMS shall provide the capability to transfer permanent records and related metadata approved for transfer to NARA in a format approved by NARA at the time of transfer.

3.2.8 Disposition

1. The SFA ERMS shall support disposition instructions that include further retention and review later, transfer to NARA for permanent preservation, or destruction.
2. SFA ERMS shall provide the capability to automatically track the disposition schedules of records. (C2.2.5.1)
3. For all records approved for destruction and for those that have been transferred, the SFA ERMS shall present a second confirmation, within a dialog box, requiring authorized individuals to confirm the delete command, before the destruction operation of the records and/or profiles are executed. (C2.2.9.2)
4. The SFA ERMS shall delete these records in a manner such that the records cannot be physically reconstructed. (C2.2.9.3)
5. If an individual authorized to destroy records attempts to destroy records that are not eligible for destruction, the SFA ERMS shall notify the individual that the records are not eligible for destruction, and not allow destruction. This is a safeguard to prevent accidental or willful destruction of records, record categories, and related indexes ineligible for destruction.
6. The SFA ERMS shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations. (C2.2.1.5)
7. The SFA ERMS shall provide the capability to extend or suspend (freeze) the retention period of individual file tags, which are required to be retained beyond their scheduled disposition because of special circumstances (such as a court order or an investigation) that have altered the normal administrative, legal, or fiscal value of the records. (C2.2.1.6)

8. The SFA ERMS shall be capable of implementing cutoff instructions for scheduled and unscheduled records. (C2.2.5.3)
9. The SFA ERMS shall provide the capability to assign a disposition instruction code to a file tag code, file tag name, or file title. (C2.2.1.4)
10. The SFA ERMS shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations. (C2.2.1.5)
11. The SFA ERMS shall provide the capability to schedule records that were previously unscheduled and to correct dispositions that are in error.
12. The SFA ERMS shall provide the capability to identify records with event-driven dispositions and provide the capability to indicate when the specified disposition event has occurred. (C2.2.6.2)
13. The SFA ERMS shall provide the capability to identify records with time-event dispositions and provide the capability to indicate when the specified event has occurred and when to activate applicable cutoff and retention instructions. (C2.2.6.3)
14. If the disposition of the superseded record is to destroy when replaced, the SFA ERMS shall identify that the record is eligible for destruction. (C2.2.2.16)

4. Other System Requirements

4.1 Primary System Functions

4.1.1 Security

The SFA ERMS shall apply a multi-tiered approach to securing SFA documents, records, and associated information. This multi-tiered approach shall be implemented by applying a role-based security model. Access roles and privileges shall include:

- System Administrator—full system privileges to modify system functions and update, edit and delete system data
- Records Manager—perform disposition and archival functions to include transfer and deletion of records and associated metadata
- General User—add or modify documents, records, and other associated information as provided by their defined user group(s)
- Others as required—additional system access roles as required to support certain other defined system functions, for example, access to system audit logs

Individual user accounts shall be assigned to user groups identifying that information to which each user shall have access. User groups shall specify read/write privileges for authenticating user access to the following:

- The overall ERMS (System-level)
- Organization-specific files (Folder-level)
- Individual documents and records (Record-level)
- Indexes and other associated information assigned to a document or record (Data-level)

Individual user accounts shall be enabled to allow their assignment to multiple user groups. For example, a Contracting Officer's Technical Representative (COTR) could be provided with read-only access to organization-specific files while maintaining read/write access to selected official COTR materials. There shall be no system-assigned limitation to the number of user groups to which an individual can belong.

The primary requirement for the SFA ERMS is to scan and store documents related to student financial assistance. As the system being considered will contain personal data covered under the Privacy Act of 1974, the ERMS shall employ all necessary security provisions required to maintain access control over these documents and records. To maintain appropriate controls concerning Privacy Act data, the System Administrator function for the ERMS shall be properly enabled to support the following activities:

- Add, modify, and delete users' logon IDs and passwords.

- Add, modify, and delete new units (organizational level to which groups may be added), groups, and users.
- Assign access permission to new units, groups, and users.

The following laws and regulations shall be applied to the confidentiality, integrity, and availability of information processes at SFA:

- Privacy Act of 1974—Public Law (PL) 93-579
- Freedom of Information Act of 1974—PL 93-502
- Federal Managers' Financial and Abuse Act of 1983—Federal Law (FL) 97-225
- The Computer Fraud and Abuse Act of 1986—FL 99-474
- The Computer Security Act of 1987—FL 100-235

4.1.2 Audit

System audit functions shall provide an electronic means of monitoring and tracking system access and documenting all changes applied to the system and its records. The SFA ERMS audit utilities shall maintain a systematic audit log of all system entries and changes to ensure the reliability and authenticity of a record. The SFA ERMS shall provide both online viewing of audit logs and system output summarizing audit activity for a given time period. Audit operations shall be performed at the row level providing the System Administrator and Records Manager with the ability to analyze and trace specific additions, modifications, and deletions to an individual user account. The SFA ERMS shall only allow authorized individuals to enable/disable the audit functions and to backup and remove audit files from the system.

4.1.3 System Support Functions

System support functions include:

- Reliability
- Recoverability
- System Availability
- Fault Tolerance
- Performance
- Capacity

Each of these functions relates to the environment supporting the ERMS software. There are two approaches to registering system support requirements in the Requirements Specification. If SFA or contractor personnel will deploy the system in-house, then system support requirements need to be explicitly stated. If however, an application service provider (ASP) is retained to host the ERMS, then the system support requirements need not be explicitly stated in the Requirements Specification. Most ASPs provide varying levels of service, with different costs associated with each level. As part of Task Order 25, EDS will recommend that SFA outsource

the application hosting to an ASP. For our purposes here the Virtual Data Center (VDC) is categorized as any other ASP providing storage and hosting services.

The level of service to be provided for each of the system support functions must be defined through a Service Level Agreement (SLA) negotiated with the ASP. The level of service must be sufficient to meet minimal expectations, yet affordable to SFA.

4.2 Detailed System Functions

4.2.1 Security

1. SFA ERMS shall apply digital signature standards to uniquely identify and verify the originator of a record. (Non-repudiation)
2. SFA ERMS shall apply innate Windows NT standards required to identify and authenticate user access to the system and its records.
3. SFA ERMS shall provide the ability to designate a Records Manager as the only person(s) responsible for reversing the designation of an official record. (C2.2.2.12)
4. SFA ERMS, in conjunction with its operating environment, shall use authentication measures that allow only authorized users to access the system. At a minimum, SFA ERMS will implement authentication measures that require Userid and Password. (C4.1.30)
5. SFA ERMS shall provide the capability to define access controls at system, organization, document (or record), and associated data level.
6. SFA ERMS shall provide capability to define different groups of users and access criteria. (C2.2.10.1)
7. SFA ERMS shall control access to records based on business needs and established privileges by work group membership, assigned role(s), and user identity. (C2.2.10.1)
8. SFA ERMS shall support multiple-user access roles and responsibilities. (C2.2.10.2)
9. SFA ERMS shall control access to transfer and destroy functions based on the identity of the user and the user role. (C2.2.10.3)
10. SFA ERMS shall control access to audit functions based on identity of the user and the user role. (C2.2.10.4)
11. SFA ERMS shall be provide a consistent level of system security and access controls for remote system access by SFA regional facilities.

4.2.2 Audit

1. SFA ERMS shall provide an audit capability to log actions performed on each system record. These actions include view, create, copy, delete, move, and edit actions. (C4.1.32)
2. SFA ERMS shall provide a capability whereby the Records Manager can specify which of the above actions are audited. (C4.1.33)
3. SFA ERMS, as implemented in its operating environment, shall provide a query function whereby an organization can set up specialized reports to determine what level of access a

- user has, what records each user accessed, and what operations were performed on those records. (C4.1.34)
4. SFA ERMS shall control access to audit functions based on the identity of the user and the user role. (C2.2.10.4)
 5. SFA ERMS audit utilities shall provide an account of records capture, maintenance, retrieval, and preservation activities to ensure the reliability and authenticity of a record. (C2.2.11.1)
 6. SFA ERMS shall provide the capability to store audit data as a record. (C2.2.11.3)
 7. SFA ERMS shall provide record management audit report writing capabilities, including the following: (C2.2.11.4)
 - 7.1 Total number of records (C2.2.11.4.1)
 - 7.2 Number of records by file tag (C2.2.11.4.2)
 - 7.3 Number of accesses by file tag (C2.2.11.4.3)
 - 7.4 Number of accesses by user group (C2.2.11.4.3)
 - 7.5 Others to be identified
 8. SFA ERMS shall log the following audit information for each record delete operation: (C2.2.11.5)
 - 8.1 Record identifier (C2.2.11.5.1)
 - 8.2 File tag (C2.2.11.5.2)
 - 8.3 User account identifier (C2.2.11.5.3)
 - 8.4 Date/time (C2.2.11.5.4)
 - 8.5 Authorizing individual identifier (if different from user account identifier) (C2.2.11.5.5)
 - 8.6 Disposition information to include disposition date
 9. SFA ERMS shall log the following audit information for each access: (C3.2.18)
 - 9.1 Record identifier (C3.2.18.1)
 - 9.2 File tag (C3.2.18.2)
 - 9.3 User account identifier (C3.2.18.3)
 10. SFA ERMS shall allow only Records Managers (or their designees) the capability to create/generate record management audit reports.
 11. SFA ERMS shall allow only the System Administrator (or designees) the capability to enable/disable the audit functions and to back up and remove audit files from the system. (C2.2.11.6)
 12. SFA ERMS audit utilities shall provide a record of transfer and destruction activities to facilitate reconstruction, review, and examination of the events surrounding or leading to mishandling of records, possible compromise of sensitive information, or denial of service. (C2.2.11.2)

13. Audit records shall be retained until authorized for disposition according to the appropriate Records Schedule or the General Records Schedule.
14. SFA ERMS shall, for transactional data, which allows for modification as part of a workflow process, identify the editable data elements and maintain a history of changes to those fields.

5. Requirements Gathering Issues and Findings

During the SFA requirements process, several key findings and issues were noted that warrant further consideration by SFA. Though, for the most part, these issues fall outside the scope of this initial requirements phase, the information is important as SFA moves forward with their plans for implementing the proposed ERMS. These findings and issues are listed below.

- Freedom of Information Act (FOIA)/ Privacy Act Requests—FOIA and Privacy Act records maintained within the Communications Channel contain only the request itself and any supporting documentation (memorandum, fee sheet, transmittal letter, and response letter). The Communication Channel does not retain a copy of the responsive documents. Each responding office is expected to maintain separately an official record of their FOIA responses. During the SFA interview process, it was determined that this practice was, for the most part, not being followed. SFA should address this process-related issue.
- Time and Attendance Records—During the SFA interview process, inconsistencies were found among channels and their divisions regarding the retention of historical time and attendance records. Although all channels are currently reporting time electronically, some channels included historical Time and Attendance Sheets for back-file conversion. A General Administrative section has been added to the SFA Metadata Requirements Table (Attachment B) that includes those materials, such as time and attendance records. SFA must review the records management requirement for these and other General Administrative materials.
- Personnel Records—There are two basic issues regarding personnel records. First, the official personnel folders for SFA employees are maintained at the Department's Office of Personnel, not at SFA Human Resources. SFA Human Resources is going to take custody and control of these records in the near future. However, until this transfer is complete, the official personnel folders at SFA Human Resources are file copies and not records. SFA Human Resources is concerned that should they scan the current file copies, they might later need to scan the record copies. It is the considered opinion of SFA Human Resources that Personnel Records not be scanned until they have been provided the official record copy in order to guarantee record integrity. This approach seeks to minimize the cost and administrative burden of double scanning.

The second issue involves the Office of Personnel Management (OPM). Though the official personnel folders are in the custody of the employing agency, ownership remains with OPM. OPM regulations require certain documents within the folder be maintained in paper format. Though the paper may be scanned, it may not be destroyed. Finally, when an employee leaves the Department, their official personnel folder must be entirely recreated in paper and transferred. SFA Human Resources is concerned with this additional administrative burden.

- Records with original signatures—Another issue that surfaced during the interview process involved historical documents containing original or “wet” signatures. The

concern expressed by the Office of General Counsel (OGC) and other SFA offices is whether the original paper document must be maintained after scanning because of the signatures. Discussions have begun among the relevant offices whether certain official records should be scanned and possibly destroyed.

- Travel Authorizations—Though each Channel office maintains Travel Authorizations, those office copies do not contain Social Security Numbers of the individuals listed on the form. The official Travel Authorization with complete Social Security Numbers is maintained by SFA Administration in the CFO Channel. The Channel copies are used to provide verification for the Authorization. The official Travel Authorization in SFA Administration may not be made generally available due to Privacy Act concerns. Additional work is needed to determine the best way to handle both the official copy and the unofficial Channel copies.
- Security Concerns—Some offices have expressed concern about having contractors handle their records during the conversion process. Privacy Act and other security concerns have been raised. Verbal assurances have been given to individual Channels. The selected conversion contractor(s) will have the appropriate clearances and experience in handling sensitive Government materials, and they will be required to file appropriate security paperwork.

Attachment A

Requirements Traceability Matrix

The requirements traceability matrix (RTM) provides a method for tracking the functional requirements and their implementation through the implementation process. Each functional requirement listed in this document is included in the matrix along with its associated section number and DoD 5015.2 citation where appropriate. When the ERMS is ready for system testing, the matrix will be used to verify that each requirement is correctly implemented. The SFA ERMS Requirements Traceability Matrix is depicted in Attachment A.

SFA ERMS Requirements Traceability Matrix

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.1.1	The SFA ERMS shall provide the capability for only authorized individuals to create, add, edit, and delete record categories, files and their codes. Each file or category code shall be linked to its associated file or category and to its higher-level category code(s).	C2.2.1.1	Filing	TBD
3.2.1.2	The SFA ERMS shall provide users with the capability to select and assign a file code to a record if the user chooses to save an electronic document in the system.	C2.2.2.1	Filing	TBD
3.2.1.3	The SFA ERMS shall assign a unique computer-generated record identifier to each record.	C2.2.2.2	Filing	TBD
3.2.1.4	The SFA ERMS shall not permit modification of the record identifier once assigned.	C2.2.2.4	Filing	TBD
3.2.1.5	The SFA ERMS shall prevent changes to documents that have been designated as records. The content of the record, once filed, shall be preserved. Changed or revised records shall be designated as new records with different identification data.	C2.2.2.3	Filing	TBD
3.2.1.6	In the process of scanning the backlog of paper documents within SFA, metadata fields shall be captured as part of the scanning process.	N/A	Filing	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.1.7	When a user saves an electronic document to the SFA ERMS, the system shall automatically date a document when it is saved as a record, and preserve the date of receipt on records received. This date shall remain constant, without being changed when the document is accessed, read, copied, or transferred. The ERMS shall not permit this data to be edited.	C2.2.2.18	Filing	TBD
3.2.1.8	The SFA ERMS shall provide the capability to link supporting and related records and related information such as notes, marginalia, attachments, and electronic mail return receipts, as well as all metadata, to the record.	C2.2.2.15	Filing	TBD
3.2.1.9	The SFA ERMS shall provide the capability for to bulk load (i.e., import) the following:	C3.2.2	Filing	
3.2.1.9.1	File Plan.	C3.2.2.1	Filing	TBD
3.2.1.9.2	Disposition Instructions and Codes.	C3.2.2.2	Filing	TBD
3.2.1.9.3	Electronic Records.	C3.2.2.3	Filing	TBD
3.2.1.9.4	Record Metadata.	C3.2.2.4	Filing	TBD
3.2.2.1	The SFA ERMS shall provide the capability to create, add, edit, and delete disposition instructions from the General Records Schedule or the Department Records Schedule and their associated disposition codes. Each disposition code shall be linked to its associated disposition instruction.	C2.2.1.2	Classifying	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.2.2	The SFA ERMS shall provide the capability to change a file tag assigned to a filed record.	C2.2.2.11	Classifying	TBD
3.2.2.3	The SFA ERMS shall be capable of scheduling each of the following three types of disposition instructions:	C2.2.5.2	Classifying	
3.2.2.3.1	Dispositions, where records are eligible for disposition immediately after the expiration of a fixed period of time.	C2.2.5.2.1	Classifying	TBD
3.2.2.3.2	Event Dispositions, where records are eligible for disposition immediately after a specified event takes place.	C2.2.5.2.2	Classifying	TBD
3.2.2.3.3	Time-Event Dispositions, where the retention periods of records are triggered after a specified event takes place.	C2.2.5.2.3	Classifying	TBD
3.2.3.1	All documents, regardless of whether or not they have been designated as records, shall contain key indexing, or metadata fields, which will be entered into the system as part of the filing process.	N/A	Indexing	TBD
3.2.3.2	The SFA ERMS shall (for each record) capture or provide the user with the capability to assign, as appropriate, metadata elements when the record is filed.	C2.2.2.5	Indexing	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.3.3	The SFA ERMS shall provide the capability for only authorized users to modify the metadata values of stored records that have not been specified as uneditable.	C2.2.2.20	Indexing	TBD
3.2.3.5	The SFA ERMS shall store all metadata date fields in a date format that allows date range searching.	N/A	Indexing	TBD
3.2.3.6	The SFA ERMS shall provide the capability to output for viewing, saving, or printing the record profile information (metadata).	C2.2.2.8	Indexing	TBD
3.2.4.1	The SFA ERMS shall include a repository for storing electronic records and prevent unauthorized access to the repository.	C2.2.4.1	Storing	TBD
3.2.4.2	The SFA ERMS shall not alter nor allow alteration of records contained in the SFA ERMS.	C2.2.4.2	Storing	TBD
3.2.4.3	The SFA ERMS shall preserve the format and content of the record as it was filed, and shall store a record with all its attachments.	C2.2.4.2	Storing	TBD
3.2.4.4	Only authorized individuals shall have the ability to move/delete records from the SFA ERMS.	C2.2.4.4	Storing	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.5.1	The SFA ERMS shall provide for viewing, saving and printing list(s) of records within record categories based on disposition instruction code, record category or file code, and/or disposition event to identify records due for disposition processing. The information contained in the list(s) shall be user definable record profile attributes.	C2.2.6.1	Screening	TBD
3.2.5.2	The SFA ERMS shall identify files scheduled for cutoff, and present them only to the authorized individual for approval. The system shall not allow any additions or other alterations to files that have reached cutoff.	C2.2.6.4	Screening	TBD
3.2.5.3	Records that have been frozen shall be identifiable by the SFA ERMS, and authorized individuals shall have the capability to reactivate or change a record's assigned disposition.	C2.2.6.5	Screening	TBD
3.2.5.4	The SFA ERMS shall provide for viewing, saving, and printing lists of records that have no assigned disposition.	C2.2.6.6	Screening	TBD
3.2.5.5	The SFA ERMS shall, using the disposition instruction for the record category, identify and present records that are eligible for destruction.	C2.2.9.1	Screening	TBD
3.2.6.1	All documents in the SFA ERMS shall be retrievable by authorized users.	C2.2.7.1	Search and Retrieval	TBD
3.2.6.2	Using metadata elements as search criteria, the SFA ERMS shall allow searches using any combination of the metadata elements.	C2.2.7.1	Search and Retrieval	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.6.3	Users shall have the capability to specify partial matches for multiple word fields and designate “wild card” fields or characters.	C2.2.7.3	Search and Retrieval	TBD
3.2.6.4	The SFA ERMS shall allow searches using Boolean logic: and, or, greater than (>), less than (<), equal to (=), and not equal to (/=).	C2.2.7.4	Search and Retrieval	TBD
3.2.6.5	The SFA ERMS shall present the user a list of documents meeting the retrieval criteria, or notify the user if there are no records meeting the retrieval criteria. The information contained in the list shall be user definable from the set of record profile attributes.	C2.2.7.5	Search and Retrieval	TBD
3.2.6.6	The SFA ERMS shall provide to the user’s workspace copies of electronic documents selected from the list of documents meeting the retrieval criteria in the format in which they were provided to the system for filing.	C2.2.7.6	Search and Retrieval	TBD
3.2.6.7	The SFA ERMS shall provide the capability to view each file in its stored format or its equivalent.	C3.2.17	Search and Retrieval	TBD
3.2.6.8	The SFA ERMS shall provide additional search and retrieval features such as full text search to assist the user in locating records.	C3.2.12	Search and Retrieval	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.7.1	The SFA ERMS shall link the record metadata to the record so that it can be displayed when needed and transported with the record when a copy is made and transmitted to another location.	N/A	Copying Transferring	TBD
3.2.7.2	The SFA ERMS shall, using the disposition instruction for the record category, identify and present those records eligible for transfer.	C2.2.8.1	Copying Transferring	TBD
3.2.7.3	The SFA ERMS shall copy the pertinent records and associated profiles to a user-specified filename, path, or device.	C2.2.8.2	Copying Transferring	TBD
3.2.7.4	The SFA ERMS shall provide the capability for only authorized users to suspend the deletion of records and related profiles until a successful transfer has been confirmed.	N/A	Copying Transferring	TBD
3.2.7.5	The SFA ERMS shall provide the capability to move associated records and related metadata for each record approved for transfer.	N/A	Copying Transferring	TBD
3.2.7.6	The SFA ERMS shall provide the capability to transfer permanent records and related metadata approved for transfer to NARA in a format approved by NARA at the time of transfer.	N/A	Copying Transferring	TBD
3.2.8.1	The SFA ERMS shall support disposition instructions that include further retention and review later, transfer to NARA for permanent preservation, or destruction.	N/A	Disposition	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.8.2	SFA ERMS shall provide the capability to automatically track the disposition schedules of records.	C2.2.5.1	Disposition	TBD
3.2.8.3	For all records approved for destruction and for those that have been transferred, the SFA ERMS shall present a second confirmation, within a dialog box, requiring authorized individuals to confirm the delete command, before the destruction operation of the records and/or profiles are executed.	C2.2.9.2	Disposition	TBD
3.2.8.4	The SFA ERMS shall delete these records in a manner such that the records cannot be physically reconstructed.	C2.2.9.3	Disposition	TBD
3.2.8.5	If an individual authorized to destroy records attempts to destroy records that are not eligible for destruction, the SFA ERMS shall notify the individual that the records are not eligible for destruction, and not allow destruction. This is a safeguard to prevent accidental or willful destruction of records, record categories, and related indexes ineligible for destruction.	N/A	Disposition	TBD
3.2.8.6	The SFA ERMS shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations.	C2.2.1.5	Disposition	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.8.7	The SFA ERMS shall provide the capability to extend or suspend (freeze) the retention period of individual file tags, which are required to be retained beyond their scheduled disposition because of special circumstances (such as a court order or an investigation) that have altered the normal administrative, legal, or fiscal value of the records.	C2.2.1.6	Disposition	TBD
3.2.8.8	The SFA ERMS shall be capable of implementing cutoff instructions for scheduled and unscheduled records.	C2.2.5.3	Disposition	TBD
3.2.8.9	The SFA ERMS shall provide the capability to assign a disposition instruction code to a file tag code, file tag name, or file title.	C2.2.1.4	Disposition	TBD
3.2.8.10	The SFA ERMS shall provide the capability to reschedule records already in the system when disposition instructions change from the original designations.	C2.2.1.5	Disposition	TBD
3.2.8.11	The SFA ERMS shall provide the capability to schedule records that were previously unscheduled and to correct dispositions that are in error.	N/A	Disposition	TBD
3.2.8.12	The SFA ERMS shall provide the capability to identify records with event-driven dispositions and provide the capability to indicate when the specified disposition event has occurred.	C2.2.6.2	Disposition	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
3.2.8.13	The SFA ERMS shall provide the capability to identify records with time-event dispositions and provide the capability to indicate when the specified event has occurred and when to activate applicable cutoff and retention instructions.	C2.2.6.3	Disposition	TBD
3.2.8.14	If the disposition of the superseded record is to destroy when replaced, the SFA ERMS shall identify that the record is eligible for destruction.	C2.2.2.16	Disposition	TBD
4.2.1.1	SFA ERMS shall apply digital signature standards to uniquely identify and verify the originator of a record. (Non-repudiation)	N/A	Security	TBD
4.2.1.2	SFA ERMS shall apply innate Windows NT standards required to identify and authenticate user access to the system and its records.	N/A	Security	TBD
4.2.1.3	SFA ERMS shall provide the ability to designate a Records Manager as the only person(s) responsible for reversing the designation of an official record.	C2.2.2.12	Security	TBD
4.2.1.4	SFA ERMS, in conjunction with its operating environment, shall use authentication measures that allow only authorized users to access the system. At a minimum, SFA ERMS will implement authentication measures that require Userid and Password.	C4.1.30	Security	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
4.2.1.5	SFA ERMS shall provide the capability to define access controls at system, organization, document (or record), and associated data level.	N/A	Security	TBD
4.2.1.6	SFA ERMS shall provide capability to define different groups of users and access criteria.	C2.2.10.1	Security	TBD
4.2.1.7	SFA ERMS shall control access to records based on business needs and established privileges by work group membership, assigned role(s) and user identity.	C2.2.10.1	Security	TBD
4.2.1.8	SFA ERMS shall support multiple-user access roles and responsibilities.	C2.2.10.2	Security	TBD
4.2.1.9	SFA ERMS shall control access to transfer and destroy functions based on the identity of the user and the user role.	C2.2.10.3	Security	TBD
4.2.1.10	SFA ERMS shall control access to audit functions based on identity of the user and the user role.	C2.2.10.4	Security	TBD
4.2.1.11	SFA ERMS shall be provide a consistent level of system security and access controls for remote system access by SFA regional facilities.	N/A	Security	TBD
4.2.2.1	SFA ERMS shall provide an audit capability to log actions performed on each system record. These actions include view, create, copy, delete, move, and edit actions.	C4.1.32	Audit	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
4.2.2.2	SFA ERMS shall provide a capability whereby the Records Manager can specify which of the above actions are audited.	C4.1.33	Audit	TBD
4.2.2.3	SFA ERMS, as implemented in its operating environment, shall provide a query function whereby an organization can set up specialized reports to determine what level of access a user has, what records each user accessed, and what operations were performed on those records.	C4.1.34	Audit	TBD
4.2.2.4	SFA ERMS shall control access to audit functions based on the identity of the user and the user role	C2.2.10.4	Audit	TBD
4.2.2.5	SFA ERMS audit utilities shall provide an account of records capture, maintenance, retrieval, and preservation activities to ensure the reliability and authenticity of a record.	C2.2.11.1	Audit	TBD
4.2.2.6	SFA ERMS shall provide the capability to store audit data as a record.	C2.2.11.3	Audit	TBD
4.2.2.7	SFA ERMS shall provide record management audit report writing capabilities, including the following:	C2.2.11.4	Audit	
4.2.2.7.1	Total number of records	C2.2.11.4.1	Audit	TBD
4.2.2.7.2	Number of records by file tag	C2.2.11.4.2	Audit	TBD
4.2.2.7.3	Number of accesses by file tag	C2.2.11.4.3	Audit	TBD
4.2.2.7.4	Number of accesses by user group	C2.2.11.4.3	Audit	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
4.2.2.7.5	Others to be identified	N/A	Audit	TBD
4.2.2.8	SFA ERMS shall log the following audit information for each record delete operation:	C2.2.11.5	Audit	
4.2.2.8.1	Record identifier	C2.2.11.5.1	Audit	TBD
4.2.2.8.2	File tag	C2.2.11.5.2	Audit	TBD
4.2.2.8.3	User account identifier	C2.2.11.5.3	Audit	TBD
4.2.2.8.4	Date/time	C2.2.11.5.4	Audit	TBD
4.2.2.8.5	Authorizing individual identifier (if different from user account identifier).	C2.2.11.5.5	Audit	TBD
4.2.2.8.6	Disposition information to include disposition date.	N/A	Audit	TBD
4.2.2.9	SFA ERMS shall log the following audit information for each access:	C3.2.18	Audit	
4.2.2.9.1	Record identifier	C3.2.18.1	Audit	TBD
4.2.2.9.2	File tag	C3.2.18.2	Audit	TBD
4.2.2.9.3	User account identifier	C3.2.18.3	Audit	TBD
4.2.2.10	SFA ERMS shall allow only Records Managers (or their designees) the capability to create/generate record management audit reports.	N/A	Audit	TBD

Requirements Specification Number	Description	DoD 5015.2 Reference	Requirement Category	Test Plan Reference
4.2.2.11	SFA ERMS shall allow only the System Administrator (or designees) the capability to enable/disable the audit functions and to back up and remove audit files from the system.	C2.2.11.6	Audit	TBD
4.2.2.12	SFA ERMS audit utilities shall provide a record of transfer and destruction activities to facilitate reconstruction, review, and examination of the events surrounding or leading to mishandling of records, possible compromise of sensitive information, or denial of service.	C2.2.11.2	Audit	TBD
4.2.2.13	Audit records shall be retained until authorized for disposition according to the appropriate Records Schedule or the General Records Schedule.	N/A	Audit	TBD
4.2.2.14	SFA ERMS shall, for transactional data, which allows for modification as part of a workflow process, identify the editable data elements and maintain a history of changes to those fields.	N/A	Audit	TBD

Attachment B

SFA Metadata Requirements

SFA Metadata Requirements

The following table depicts the metadata requirements for SFA. This information was gathered using questionnaires and personal interviews within SFA. The table lists paper documents that will be included in the scope of the back office conversion for the SFA ERMS.

The table is organized by Channel with the documents listed for each Channel. Similar documents or documents that comprise a single case file are grouped together. For each document type the table lists index information, access information, volume information, and records schedule. Where the metadata is common for several documents that information is listed together. For some areas, volume information could not be determined by document type. In those instances, the volume is listed by either Channel or Division.

During the interview process, it was determined that multiple copies of the same document may exist. The document is listed in the Channel that owns the document.

Each document that is considered a record must be scheduled. For those records that are known, the controlling schedule is listed.

SFA ERMS Document Specifications

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
General Administrative Materials	Time and Attendance Sheets	Office Code Employee/Intern Name SSN Pay Period/Date	T&A Coordinator Submitter Admin. Officer Budget Officer (For each organization)	Unknown	
	SF 71 Leave Application				
	Travel Vouchers (Non-Record Copies – DO NOT SCAN. Official record copy maintained by SFA Admin., see Section 7.7)				
	Travel Authorization (Copy without SSN)	SSN Authorization No. Funding Appropriation Code	Division Admin. Officers Division Budget Officers	2-5 Pgs./Division x Est. 50 Admin. Officers = 250 Pgs.	
	Supervisor's Copy of Personnel Records 1. Within Grade Increase 2. Promotion Paperwork 3. Position Description 4. New Hire Paperwork 5. Reassignment	Document Type Name Organization Date	Employee Supervisor Admin. Officer	Est. 15 Pgs./Employee 1,400 Emp. = 20,000 x 10 Yrs. = 200,000 Pgs. (Potentially)	
	General Performance Appraisal System (GPAS) Employee Appraisal and Evaluation			Est. 5 Pgs./Employee 1,400 Emp. = 7,000 Pgs./Yr. (SFA wide) x 10 Yrs. = 70,000 Pgs. (Potentially)	
	FOIA Responses (FOIA Requests – See Section. 11, Communications)	Requestor Responding Org. Date of Response Request No.	Chief of Staff Responding Org. Communications/FIOA Office	Unknown	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
1. Chief Operating Officer	Record of Daily Activities: 1. Hardcopy of Calendar 2. Briefings and Background Materials 3. Handouts/Reports 4. Hot Issues	Document Type Date Office (e.g., COO) Subject	Management Official (e.g., COO) Chief of Staff Assts to Chief of Staff and COO	4 Filing Cabinets Containing 40,000 Pgs.	
	Events: 1. Invitations 2. Speeches/Briefings 3. Meeting Notes/Talking Points	Document Type Date of Event Event Title Subject	COO Office	Included in Filing Cabinet Volume	
	Office Administrative Records	Date Subject Category	COO Staff	Included in Filing Cabinet Volume	
	Letters/Correspondence: 1. Congressional 2. Student Requests 3. School Requests 4. Financial Institution Requests 5. Others	Document Type Originator Subject Date of Letter/Corres. Date of Receipt Date of Response SFA Org. Assigned	COO Office (read/write) Responding Office (read/write)	1 File Drawer = 2,000 Pgs. Most Captured in CCM Plus (Doc. Mgmt System)	
1.1 SFA Intern Program	Hardcopy Resumes for Interns Hired	Intern Name School Attending Term served as Intern	Intern Coordinator COO Management	Resumes 55 Pgs./Yr. x 2Yrs. = 110 Pgs.	
2. Ombudsman	Borrower Document School Document Loan Holder Document Guarantor Agency (GA) Documents Other	SSN Case No. Date Received Document Type Borrower's Last Name	Ombudsman Office in Washington DC Chicago Regional Office Contractor (NCS located in Iowa City, IA, and Lawrence, KS)	Est. 1,500 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
3. Students					
3.1. Customer Service and Support Calls Centers (CS&SCC)	Contracts Materials: 1. Contractor Invoices and Supporting Docs.: a. Ed. Pubs. b. UPS	Invoice No. EDCAPS No. Date Contractor Name Contract No.	CS&SCC Mgmt. and Contract Point of Contact	Ed. Pubs.: 2-3 Pgs./Mos. UPS: Varies Jan. to Aug., 15 Pgs./Wk. Sept. to Dec., 25-1,000 Pgs./Wk. Est. 10,000 Pgs.	
	2. Public Inquiry: a. MIS Reports (Old) b. Contract Mods. c. White Papers d. Invoices (File Copy) e. Supporting Docs.			2 Yrs. Current 1-1/2, 5 Drawer Cabinets Est. 150,000 Pgs. MIS Reports/Contract Mods./White Papers: Undetermined Invoices: 4 Pgs./Doc. Supporting Docs. (e.g., QC Docs.): 5-10 Pgs./Doc.	
	3. Document Design: a. RFQs b. Contractor Bids c. Invoices d. Notes/Meeting Minutes e. Supporting Docs.	Document Type Job Name/No. Date of RFC Contractor Name Contract No.		Est. 6,000 Pgs./Yr. RFQs – 2-3 Pgs. 10-15 Docs./Mo. Bids – 3-4 Pgs. x 3 Conts.x 10-15 per Mo. Invoices. – 2-4 Pgs. x 10/15 per Mo. Notes/Mtg. Mins. - 2-6 Pgs. x 10/15 per Mo. Est. 6,000 Pgs./Yr.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 3.1. Customer Service and Support Calls Centers (CS&SCC)	3. MIS Reports – Historical Data Prior to Placing Reports On-Line (Primarily Tracking Reports for Call Center)	Report Type/No. Date		Undetermined Retain 2 Yrs. historical data	
	4. SFA Printing: a. Request to Print b. Form 5089 c. Form SF-1 d. Form 2511 e. Print History f. Historical Invoices g. Receipts h. Letters/Correspondence	Document Type Req. No. EDCAPS No. Date of Print Job		Est. 32,000 Pgs. Assume 300 Forms/Yr. (first 4 forms) = 10,000 Pgs. Print History - 1-6 Pgs. x 300/Yr. x 6-10 Yrs. = 7,000 Pgs. Historical Inv. - 2-3 Pgs./Yr. x 40 to 50/Yrs. x 6 to 10 Yrs. = 7,000 Pgs. Receipts - 2-3 Pgs. x 300/Yr. = 4,000 Pgs. Letters/Corr. – 2-3 Pgs. x 300/Yr. = 4,000 Pgs.	
3.2. Aid Awareness	No Paper Records: 1. Currently Image All Correspondence 2. Maintain Paper Copies of Contractor Admin. Files (not official records) 3. Record Copies Maintained by Acqs. & Contracts Contracting Officer	None	None	None	No Paper Records

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
3.3. Application Processing Substantial no. of electronic documents to be added when system is operational.	Contracts Materials: 1. Contracts 2. Contract Modifications 3. Supporting Documents 4. White Papers [Contracts include Central Processing System (CPS) and Multiple Data Entry (MDE)]	Document Type Product No. Contract Mod. No Contractor Name System Name	Appl. Proc. Mgmt. Project Team Leads	15,000 Pgs. on Shelves and in Binders	
	Processing Forms: 1. FAFSA Application 2. Renewal FAFSA and Instructions 3. SAR/SAR Acknowledgement 4. Print Specs	Document Type Award Year Status (e.g., Final)	All Appl. Proc. Staff	2 File Cabinets Est. 5,000 Pgs./Drawer = 25,000 Pgs./Cab. x 2 Cabs = 50,000 Pgs.	
	Inquiry Forms: 1. Optional Form 11 2. SF 135 3. Microfiche Materials	Document Type Award Year Student Name SSN	Appl. Proc. Mgmt. Project Team Leads & Backups	Est. 10,000 Pgs. of Paper and 4,000 Panels of Microfiche (8 Trays of Microfiche x 150 Envelopes x 25 Panels = 4,000)	
	OMB Clearance Materials: 1. Clearance Packages 2. Letters to OMB 3. Approval Paperwork 4. Federal Register 5. Comments from Public on Forms Note: Project Specific Documentation for: 1. Paper FAFSA 2. FOTW	Document Type Product Name Release No. Deployment Date		Included in Est. of 50,000 Pgs. noted above for Processing Forms.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 3.3. Application Processing	Tracking Summaries with Supporting Materials (e.g., FAFSA, FOTW, Mainframe)			Included in Est. of 50,000 Pgs. noted above for Processing Forms.	
	Mix of Electronic & Paper Copies for Each System /Products				
	Computer Matching Agreements: 1. Agreements 2. Federal Register Notices 3. Certifications from Data Integrity Board 4. Agency Approvals and Signoffs 5. Cost Benefit Analysis 6. Congressional Notifications	Document Type Agency Product Name Approval Date	All Appl. Proc. Staff	500 Pgs.	
3.4. Student Credit Management					
3.4.1. DCS Systems	DCS System Documentation (Not Official Records)	Document Type Program Name - (GDRHB-728) Document No. (4 Char. for Sys./Subsystem and 4 Char. for Doc. Type) Job No. - (GSC-RHB-01)	DCS System Analysts (Read Only) All Changes Coordinated through Documentation Specialist (Read/Write)	Dozens of Volumes 100,000 or More Pgs.	
	Contract Support Documentation	Numbering Convention Made Up of System/ Subsystem/Task Order	DCS System Analysts (Read Only)	10,000 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
3.4.2 Repayment	Contract Materials: 1. Business Proposal 2. Responses to Business Proposals 3. Contracts 4. Contract Modifications 5. Technical Proposals 6. Technical Best & Final Offer 7. Technical Parts A-I, References, Appendices 8. Technical Proposal Clarifications 9. Task Orders Folders 10. STORs 11. Deliverable 85 Wkly. & Qtrly. Project Status Reports 12. Deliverable Files 13. Deliverable Report Folders 14. Emergency DMR Requests 15. Invoices, Task Order Design, & Req. Specs. 16. Key Personnel Folders 17. Statement of Work (SOW) (Electronic Version Available) 18. Del. 31 Quarterly Doc. Updates 19. TO Design & Requirements. Specification Documents	Document Type Contract No. Contract Mod. No. Task Order No. Work Unit (For STORs, Must Index DMR No. and STOR No.) (For Emerg. DMR Req., Index DMR No.)	1. COTR Team (Read) 2. COTR Team (Read) 3. Repaymt Grp (Read) 4. Repaymt Grp (Read) 5. COTR Team (Read) 6. COTR Team (Read) 7. COTR Team (Read) 8. COTR Team (Read) 9. Repaymt Grp (Read) 10. Repaymt Grp (Read) 11. Repaymt Grp (Read) 12. Repaymt Grp (Read) 13. Repaymt Grp (Read) 14. Repaymt Grp (Read) 15. COTR Team (Read) 16. Repaymt Grp (Read) 17. Repaymt Grp (Read) 18. Repaymt Grp (Read) 19. Repaymt Grp (Read)	450,000 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 3.4.2 Repayment	Letters/Correspondence: 1. Bankruptcy and Fraud Folders 2. Complementary From Customers 3. Controlled Correspondence Files 4. Direct Loan System Generated	Document Type Originator Subject Date of Receipt or Date of Response Respondent	Repaymt Group (Read Only)		
	IQCU Process Reviews				
	Output of MIS Queries				
	Miscellaneous: 1. Business Rules 2. Multiple Servicer Q&As 3. Website Files 4. Y2K Files		1. Repaymt Grp (Read) 2. Repaymt Grp (Read) 3. Cindy Battle (Read) 4. COTR & Cindy Battle (Read)		
3.4.3. Consolidation	Task Order Proposals with Wet Signature and Backup Documentation	Document Type Contractor Name Contract No. Task Order No.	Loan Consolidation Staff COTR	Unknown	
	Test Reports with Wet Signature	Document Type Contractor Name Contract No. Date		2 File Drawers = 6,000 Pgs.	
	Special Investigation Reports	Document Type Subject/ Date	Limited Availability to Loan Consolidation Mgmt. Staff	Unknown	
	Billing/Invoice Documents and Supporting Docs.	Document Type Contractor Name Contract No. Reporting Period (Mo./Yr.) Deliverable No.	Limited Availability to Loan Consolidation Mgmt. Staff COTR		

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 3.4.3. Consolidation	Controlled Correspondence: 1. Congressional 2. Consumer 3. Schools	Document Type Originator Subject Date of Receipt or Date of Response	Loan Consolidation Staff COTR	1,000 Pgs.	
	Historical Program/Product Documentation (where an electronic copy no longer exists); includes paper copies and supporting documentation for: 1. Training Announcements 2. Dear Partner/Colleague Letters 3. Consolidation Guides and Info. for Schools and Students 4. Direct Loan and Loan Holder Conference Materials 5. System Generated 6. Shelf Letters 7. Application Package 8. ICR Waiver Form 9. RPS Form 10. Endorser Addendum 11. Alt. Doc. of Income 12. Verification Certification 13. OMB Correspondence	Document Type Date		1 File Cabinet	
	Training Materials (Available Only in Hard Copy)			Unknown	
	Statutory and Regulatory Documents and Supporting Paperwork				

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 3.4.3. Consolidation	Budgetary and Financial Summary Documents	Document Type Fiscal Year (As Of Date)	Limited Availability to Loan Consolidation Mgmt. Staff COTR		
	MIS Reports (Available Only in Hard Copy (e.g., Appl. Volume Reports))	Document Type Reporting Period (Mo./Yr.) Contractor Name Contract No. Deliverable No.	Loan Consolidation Staff COTR	2-3 File Drawers = 10,000 Pgs.	
3.4.4. Collections	Verification File: 1. Copy of Student Aid Report 2. Correspondence 3. Verification Worksheet 4. Tax Returns 5. Referral from School Letters	Document Type SSN Last Name	Collections Staff	2 File Cabinets 300 Files x 20 Pgs.	
	Payment Register: 1. Copy of Deposit Ticket 2. Register – Standard 3. Documentation	Document Type Date of Deposit Deposit No.		Exist from 1985. Stopped in 1997. 13 x 52{Wkly.} x 15 Pgs.	
	Requests from Schools (with attachments)	School or Billing Svcs. Name Date		5 Drawers	
	Grant Files: 1. Referral Form 2. Correspondence	Document Type SSN Last Name		600 Files 4 Pgs.	
	Treasury Off-Set Program (TOP): 1. Computer Listings of Borrower's Names 2. Agency Agreement Packages 3. Certification Letters 4. Documentation between Treasury & Department	Document Type Year State Agency (Include Department)		Certification Letters Back to 1986.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 3.4.4. Collections	System Letters	System Letter No. Topic Agency Sort by Date		2,000 Pgs.	
	Personal Files, Record Copies of: 1. Directions & Policies 2. School Correspondence 3. Student Correspondence 4. Personnel Information 5. Collection Agency Papers	Document Type Subject Document Type Sort by Date	Owner Only	Unknown	
	Matching Agreements	Agency Name Execution Date Renewal Date	Collections Staff	100 Pgs.	
	Verification Hold Report	Topic		74 Pgs.	
	Reports	Topic Report No. Date		1 M Pgs.	
	Treasury Correspondence: 1. Treasury-Based 2. Guarantor Agency-Based	Topic Date		Unknown	
	System Documentation: 1. Task Orders 2. Requirements Document 3. General Correspondence 4. MOUs 5. Meeting Minutes	Document Type Task Order Name Task Order No. Sort by Date	Collections Staff DCS Staff-Data		
	Mandatory Assignment: 1. Agreements with GA 2. Correspondence 3. Directives	Document Type Subject Topic Date GA	Collections Staff	9 File Drawers	
4. Schools					
4.1. Direct Loans Schools Relations	Unknown	Unknown	Unknown	Unknown	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
4.2. FFELP Schools Relations	Unknown	Unknown	Unknown	Unknown	
4.3. Title IV Delivery					
4.3.1. Operations	Invoices (File Copy)	Document Type Date Contractor Name Contract No.	COTR COTR Asst. Acqs. and Contract: 1. Contracts Officer 2. Contracts Specialist	From 1996-2000 3,600 Pgs./Yr. x 4 Yrs. = 14,400 Pgs.	
	COTR Records: 1. Letters and Correspondence 2. Deliverable Approvals 3. Memorandum	Document Type Date Subject (Where Available) Contractor Name Contract No.	COTR COTR Asst. Acqs. and Contract: 1. Contracts Officer 2. Contracts Specialist	2 File Drawers = 10,000 Pgs.	
	Security Forms and Paperwork	Document Type Date Staff/Cont. Name SSN (Privacy Act) Contractor Name Contract No.	COTR COTR Asst. LO Security Officer Program Manager SFA Security Office	600 Staff and Contractors Several Pgs. Ea. = Est. 2,000 Pgs.	
	Contracts Administrator Documents: 1. MIS Summary Reports 2. Admin. Reports 3. Financial Reports and Backup Docs.	Document Type Reporting Period (Mo./Yr.) Contractor Name Contract No. Deliverable No.	COTR COTR Asst. Documentation Staff	1,000 Pgs./Mo. 2 Yrs. in HQ Files = 24,000 Pgs.	
	System Documentation: 1. CM Plan 2. Cutover Plan 3. Data Dictionary, Etc.	Document Type Title/File Name Date Contractor Name Contract No.	Operation Staff COTR COTR Asst. Documentation Staff	500 Paper Signature Pgs.	
	Signature Page – Paper Document–Electronic Files on CD				

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 4.3.1. Operations	Contract Materials: 1. Contract SOW 2. Technical Proposal 3. Responses to Technical Questions Above in Paper Copy Task Orders – Electronic Files	Document Type Title/File Name Date Contractor Name Contract No.	COTR COTR Asst. Contract and Acq.: 1. Contracts Officer 2. Contracts Specialist	2,000 Pgs. in Binders	
4.3.1.1 Direct Loans	Appeals and Approvals Final Balance Negative Balance Letters Zero Balance Letters Tolerance Balance Plus or Minus \$5 Letters Positive Balance Letters Letters Requesting Payment Holding File Documentation Reallocation Documentation Issue Sheets	Document Type OPE Id No. Sequence No. G Code E Code Subject Category	Direct Loan Ops. (Staff and Contractors): 4.3.1 4.3.1.1 Case Management	2-5 Pgs./Doc. Est. 4,000 Docs. Est. 20,000 Pgs. Est. 4,000 Pgs. Est. 4,000 Pgs. Est. 5,000 Pgs.	
4.3.1.2. PEPS	PEPS Tracking Form	SSN Last Name First Name Middle Initial Date of Birth Phone No.	PEPS System Admin Security Officer	2 5-Drawer Cabinets of 5-Pg. Documents	
4.3.1.3. Campus Based	FISAP Signature Page	Document Type State School Name Serial No.	Campus Based Programs Staff	4,000 x 2 Pgs. = 8,000 Pgs./Yr. x 3 Yrs. = 24,000 Pgs.	
	Certification of Drug-Free Environment	Document Type State School Name Serial No.	Campus Based Programs Staff	4,000/Yr. x 3 Yrs. = 12,000 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 4.3.1.3. Campus Based	Certification for Debarment	Document Type State School Name Serial No.	Campus Based Programs Staff	4,000/Yr. x 3 Yrs. = 12,000 Pgs.	
	Cover Letter for Fed. Perkins Service Cancellation	Document Type Award Year State School Name Serial No.	Campus Based Programs Staff	1,800/Yr. x 2 Pgs. = 3,600 Pgs./Yr. x 3 Yrs. = 10,800 Pgs.	
	Cover Letter for Fed. Perkins Cancellation Reimbursement	Document Type Award Year State School Name Serial No.	Campus Based Programs Staff	1,800/Yr. x 2 Pgs. = 3,600/Yr. x 3 Yrs. = 10,800 Pgs.	
	Fed. Perkins Loan Adjustment Letter	Document Type Award Year State School Name Serial No.	Campus Based Programs Staff	40/Yr. x 2 Pgs. = 80 Pgs./Yr. x 3 Yrs. = 240 Pgs.	
	Teacher Cancellation Receivables Letter	Document Type Award Year State School Name Serial No.	Campus Based Programs Staff	< 60/Yr. x 3 Pgs. = 180 Pgs./Yr. x 3 Yrs. =540 Pgs.	
	Fed. Perkins Under-Utilization Funds Waivers (Request Letter from School, Tracking Cover Sheet, Response Letter)	Document Type State School Name Doc. Numbering Convention	Campus Based Programs Staff	400/Yr. x 5-7 Pgs. = 2,000-2,800 Pgs./Yr. x 4 Yrs. = 8,000 – 11,200 Pgs.	
	Fed. Work Study Community Service Waiver	Document Type State School Name Doc. Numbering Convention	Campus Based Programs Staff	180/Yr. x 3 Pgs. = 540 Pgs./Yr. x 6 Yrs. = 3,240 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 4.3.1.3. Campus Based	Fed. Perkins Income Contingent Loan Program	Document Type State School Name Doc. Numbering Convention	Campus Based Programs Staff	10/Yr. x 3 Pgs. = 30 Pgs./Yr. x 6 Yrs. = 180 Pgs.	
	Fed. Perkins Expanded Lending Option (Official Agreement for Participation)	Document Type State School Name Doc. Numbering Convention	Campus Based Programs Staff	113/Yr. x 3 Pgs. = 340 Pgs./Yr. x 3 Yrs. = 1,020 Pgs.	
	Letters for Fed. Perkins Loan Excess Liquid. Capital	Document Type State School Name Serial No. Award Year	Campus Based Programs Staff DCS Staff	1,000/Yr. x 8 Pgs. = 8,000 Pgs./Yr. x 5 Yrs. = 40,000 Pgs.	
	Liquidation Letters	Document Type State School Name Serial No.	Campus Based Programs Staff DCS Staff	200/Yr. x 10 Pgs. = 2,000 Pgs./Yr. x 5 Yrs. = 10,000 Pgs.	
	Fed. Perkins Loan Program Status of Default (Orange Book)	Document Type Date (as of)	Campus Based Programs Staff DCS Staff Regions (when available)	Annual Basis 300 Pgs. 18 Yrs. = 5,400 Pgs.	
	Notification to Members of Congress of Approval of Awards to Institutions Participating in FWS, FSEOG, & FPL (Congressional Notification)	Document Type Award Year	Campus Based Programs Staff Regions (When Available)	Annual Basis 350 Pgs. 18 Yrs. = 6,300 Pgs.	
4.3.1.4. Pell	None. All Work Products Are Electronic.	None	None	None	No Paper Records
4.3.2. Call Center	None. All Work Products Are Electronic and Published on the Web.	None	None	None	No Paper Records

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
4.4 Case Management and Oversight See Sect. 4.4.3. Data Mgmt and Analysis					
4.4.1. Performance Impr. And Procedures, Admin Actions, and Appeals Division	Subpart G Cases Case Types Include: Emergency Actions (G1) Emergency Termination Actions (G2) Fine Actions (G3) No Action (G4) Disqualification (G5) Cases Categorized as Either: 1. Active 2. Inactive Subpart H Cases Case Types Either: 1. Prog. Review Appeals (H1) 2. Audit Appeals (H2) Document Types Include: Appeal Letters Other Correspondence Documentation (School Submitted) Final Outcome Cases Categorized as Either: 1. Active 2. Inactive	Doc. Type/Case Type /Active or Inactive School Name OPE Id No. Receipt Date Closing Date (Inactive)	Active - AAAD Inactive – Case Mangement Offices & Other Divisions as Required (e.g., Direct Loans)	200 Cases/Yr. 5 Yrs. on site = 400 K Pgs. DRCC Stores All Prior Years	
				200 Cases/Yr. 3 Yrs. On Site 400 K Pgs. DRCC Stores All Prior Years	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 4.4.1. Performance Impr. and Procedures, Admin Actions, and Appeals Division	Debarments and Suspensions Case Types as Either: 1. Debarments (D) 2. Suspensions (S) Document Types Include: 1. Notice (D1 or S1) 2. Supporting Documentation (D2 or S2) Cases Categorized as Either: 1. Active 2. Inactive	Doc. Type/Case Type /Active or Inactive Individuals Name School Name (If Avail.) Individual SSN Closing Date (Inactive)		25 Cases/Yr. 5 Yrs. On Site 50,000 Pgs. DRCC Stores All Prior Years	
4.4.2. Default Management	School Records	OPE Id No. School Name Default Rate FY	Default Mgmt Staff	50 Boxes x 3,000 Pgs. /Box = 150,000 Pgs. To Be Archived in DRCC	
	Current Eligibility Records in File Room for 100 Inst's.			Est. 35,000-50,000 Pgs.	
	Archival Materials Kept in Records Center Suitland, MD.				
	Challenges/Appeals (Active) Do Not Scan Until Appeal is Complete. Inactive Appeals Archived in the Records Center Suitland, MD.			30 Boxes x 3000 Pgs. /Box = 90,000 Pgs.	
4.4.3.Data	Compliance Audits	Document Type	Case Management Offices & other Divisions as Required	4 M Pgs.	
Management and Analysis	Financial Statements	School Name OPE Id. No.		2 M Pgs.	
	School Applications			420 K Pgs.	
	Prog. Participation Agreements			200 K Pgs.	
	Final Audit Resolution Letters			300 K Pgs.	
Includes DRCC					

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 4.4.3.Data Management and Analysis	Compliance Letters			100 K Pgs.	
	Program Review Reports			75 K Pgs.	
	Final Program Review			75 K Pgs.	
	Determination Letters			Unknown	
	Excel Spreadsheets			3 K Pgs.	
	ECARS			500 K Pgs.	
4.4.4. Foreign Schools	Prog. Participation Agreements and Addendums Eligibility and Certification Approval Report (ECARS) Re-Certification Materials: 1. Financial Statements (Schools) 2. Catalogs and Prospectus (Schools) 3. Legal Authorizations and English Translations 4. Accreditation (Med. Schools) 5. School Description from World Health Directory Web Page (e.g., Med. School) 6. Letters/Correspondence 7. Checklist for Analyzing Re-Certifications for New Schools Communications Log Basic Data Entry Sheets for PEPS Entry Program Reviews Foreign School Team Conference Calls (CONCALLS)	Document Type Country Institution's Name OPE Id No. School Classification (Eligible/Deferment Only)	Foreign Schools Team Case Teams Case Mgmt Offices	250,000 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
5. Financial Partners					
5.1. Partner Services Office maintains duplicate copies of records organized by Subject and Chronology.	Letters/Correspondence: 1. Dear Colleague 2. Dear Partner	Document Type Originator/Respondent Subject Date of Letter/Corres. Date of Receipt or Date of Response	Partner Svcs. Staff Selected Regional Personnel	500,000 Pgs. in File Cabinets and Boxes. Includes Storage Area.	
	Auditing Documents: 1. OIG 2. GAO 3. A133 4. A128 5. 305 6. 416 Organization Types Include: 1. Guarantor Agency (GA) 2. Lender 3. GA Services 4. Lender Services 5. Secondary Markets	Document Type Organization Type Title of Audit Audit Control No. Lender ID No. Period End Date			
	Program Reviews (PR)	Document Type PR Control No. Organization Name Organization Type Period End Date			
	Financial Statements/ Reports: 1. Financial Statement 2. Annual Report	Document Type Organization Name Organization Type Period End Date			
	Agreements and Contracts: 1. Participation Agreement 2. Settlement Agreement 3. Court Cases 4. Backup Materials	Document Type Organization Name Organization Type Effective Date			

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 5.1. Partner Services	Projection Model	Organization Name Organization Type Effective Date			
	Reference Materials: 1. Document Formats 2. Policies & Procedures 3. Training Materials 4. Seminars 5. Reference Guides: a. Lender Review b. GA Review c. Audit Guides d. OMB Circular	Document Type Date Document Status (Draft/Final) Document Title			
	Guarantor Agency Annual Reports: 1. Form 1130 2. Form 2000 (Replaces 1130)	Document Type Guarantor Agency Year State	Partner Svcs Staff Selected Regional Personnel CFO/Financial Reporting	37 Gas x 6 Pgs. = 250 Pgs./Yr. X 6 Yrs. = 1,500 Pgs.	
5.2. Financial Management	Court Cases	Document Type Lender ID No. Document Date	Financial Partners	2 File Drawers - Est. 6,000 Pgs.	
	Guarantor Agency(GA) /Lender Summary Reports Document Types Include: 1. 1189 2. 1130 3. Payment Reports	Document Type Fiscal Year/Period GA Name GA Code	Financial Partners CFO	Est. 15,000 Pgs.	
5.3. Partner Systems Liaison	Contracts and Supporting Documentation	Document Type Performance Period Fiscal Year Contractor Name Contract No.	Financial Partners DCS Staff	Unknown	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 5.3. Partner Systems Liaison	Inter-Agency Agreements (IAA): 1. IAA for Taxpayer Address Request (IRS) 2. IAA for Bank Offset System (DOT) 3. Computer Matching Agreement (IRS)	Document Type IAA Type Fiscal Year Agency	Financial Partners DCS Staff	2 IAAs x 20 Pgs. = 40 Pgs./Yr. x 2 Yrs. = 80 Pgs.	
	System Documentation	Document Name Document Code/ Volume No. (Ex.: D-ACC-000-2 thru D-ACC-019-4) Version No. Release Date	Financial Partners DCS Staff	Estimated 60,000 Pgs.	
5.4. State Agency Liaison	Application to Participate in LEAP (Formerly SSIG)	State Name Award Year	Financial Partners (read/write) Analysis (read only)	5 Yrs. 1,680 Docs.	
	Performance Report for LEAP (Formerly SSIG)	State Name Award Year	Financial Partners (read/write) Analysis (read only)	5 Yrs. 1,120 Docs.	
	Grant Award Notification for LEAP (Formerly SSIG)	State Name Award Year	Financial Partners (read/write) Analysis (read only)	5 Yrs. 280 Docs.	
	Letters/Correspondence	State Name Date	Financial Partners (read/write) Analysis (read only)	5 Yrs. 280 Docs.	
	Application to Participate in SLEAP	State Name Award Year	Financial Partners (read/write) Analysis (read only)	1 Yr. 108 Docs.	
5.5. Program Development	No Paper Records to be Scanned	None	None	None	No Paper Records

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
6. Chief Information Officer					
6.1. E-Commerce Application Development					
6.2. Enterprise IT Management	Unknown	Unknown	Unknown	Unknown	
6.3. Enterprise IT Services	SEC0003 Security Form Form Letter (Not Records. Originals Sent to VDC.)	SSN Last Name	Barbara Cobbs Jim Rotchford at the VDC in CT	1,000 Pgs.	
	System Documentation: Computer Operations Manual 2. User Documentation Manual	Chapter No. Deliverable No. Version No. Date	CIO/IT Services	10 Boxes of Large 3-Ring Binders	
	Configuration Control Board (CCB) Files: 1. Bi-Weekly Report 2. CCB Report 3. CCB Meeting Notes 4. QA/QC Metrics Reports	Document Type Report Name Date	CIO/IT Services	Est. 32,000 Pgs.	
	Contract Invoices	Date Invoice No.	CIO/IT Services	5 x 3" Binders	
6.4. IT Business Services	Task Order Files: 1. RFP 2. Statement of Objective 3. Invoices 4. Deliverables 5. Work Orders 6. Modifications 7. Proposals 8. Requisitions 9. Progress Reports 10. Other	Document Type Task Order No. Task Order Name Date Deliverable No. Deliverable Name Invoice No. Modification No. Work Order No. Work Order Name	COTR for IT Business Services	10 Shelves	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 6.4. IT Business Services	Other Files Types Include: 1. Contract Documents 2. Presentations 3. Resumes 4. Analysis 5. Letters/Correspondence /Emails 6. Deliverable Date Chgs. 7. Security Clearances 8. General 9. Status Reports 10. Other	Document Type Date Topic			
6.5. IT Innovations	Record of Daily Activities: 1. Calendar 2. Personal Papers	Document Type Date Office Subject	Management Official Staff (15)	Unknown	
	Events: 1. Invitations 2. Speeches/Invitations 3. Meeting Notes	Document Type Date Event Title Subject	IT Innovations Staff		
	Letters/Correspondence: 1. Congressional Requests 2. Individual Requests 3. Higher Ed. Requests 4. Internal Requests 5. Memorandums	Document Type Originator Subject Date of Ltr./Corresp. Date of Receipt Date of Response			
	Resumes (Candidates)	Name/Vitae			
	Purchase Orders and Receiving Reports	P.O. No. Requisition No. Vendor Name/No. Fiscal Year			
	GPO Printing ED5089	EDCAPS Requisition No.			

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 6.5. IT Innovations	Task Order Files: 1. RFP 2. SOO 3. Invoices 4. Deliverables 5. Modifications 6. Requisitions 7. Progress Reports 8. Other	Document Type Task Order No. Task Order Name Date			
7. Chief Financial Officer (CFO) Immediate Office	Training Forms: Email Requests for Training Forms for External Training Credit Card Receipts	Document Type Employee Name Organization Training Course Date	CFO Immediate Office Employee Supervisor Admin. Officer Budget Officer	Unknown	
	Letters/Correspondence: Internal Correspondence (Secretary of Dept/SFA) Individual Letters OMB Memorandums	Document Type Originator Subject Date of Letter/Corres. Date of Receipt Date of Response SFA Org. Assigned	Initially SFA-Wide Access Determine Access Limitations for Specific Documents During Document Preparation.	Est. 500 Pgs. Over the Last 4 Yrs.	
7.1. Accounting Policy	All Electronic Documents – No Paper Records	None	None	None	No Paper Records

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
7.2 Accounting Accounting Div. Only Retains Hard Copy Documents. Electronic Records Maintained at Contractor Facilities. Hard Copies Retained at SFA HQ for 2 Yrs., Then Transferred to Contractor Storage for Additional 3 Yrs.	Reconciliations: 1. GL Acct 131004 – A/R Other 2. GL Acct 134001 – Interest Receivable 3. GL Acct 134004 – Interest Receivable DCMS 4. GL Acct 135001 – Loans Receivable 5. GL Acct 135005 – Loans Receivable DCMS 6. GL Account 135006 – Loans Receivable Unapplied	Document Type Reconciliation Date GL No. GL Name	Accounting Division Financial Reporting Division	Est. 25 - 3" Binders	GS16-14f
	Treasury Offset Program (TOP) Procedures	Document Type Date (as of)		1 - 1" Binder	
	Advance Monthly Reconciliation	Document Type Date (Mo./FY)		18 – 3" Binders	
	Advance Year End Closing			1 – 3" Binder	
	70 D Daily Listing of Deposits	Document Type DLSFB No. Date (Mo./FY)		2 – 3" Binders	
	73 D Dishonored Payments Listing (Daily)			2 –3" Binders	
	DL SF 1166 Treasury File Reports	Document Type Standard Form (SF) No. Date (Mo./FY)		10 – 3" Binders	
	SF 1166 Support Detail Report (Weekly)	Document Type DLSFB No. Date (Mo./FY)		2 – 3" Binders	
	EDPAS Crosswalk Table (Weekly)	Document Type Date (Mo./FY)		2 – 3" Binders	
	TC Table VS EDPAS Crosswalk File (Weekly)	Document Type DLSFB No. Date (Mo./FY)		2 – 3" Binders	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.2 Accounting	SLSS to FARS Crosswalk (Weekly)	Document Type GA No. Date (Mo./FY)		2 – 3” Binders	
	Transaction Generator Listing (Weekly)			2 – 3” Binders	
	Loan Activity Report (Monthly)	DLSFB No. Date (Mo./FY)		2 – 3” Binders	
	Loan Origination – Compass Bank/Wachovia Bank Reconciliation	Loan Origination Bank Date (Mo./FY)		2 Binders	
	Loan Servicing – Bank of America Reconciliation	Loan Servicing Bank Date (Mo./FY)		2 Binders	
	PBC Listings	Date (Mo./FY)		4 Binders	
	Daily Loan Recap Reports			1 Binder	
	Gross Loan Booking Comparison (Recon. Between 768 & 600 Reports, Recon. 757 & 600 Reports)			3 Binders	
	DLSFB 802 & 802Y			2 Binders	
	Schedule of Canceled or Undelivered Checks (Weekly)			Document Type Standard Form (SF) No. Date (Mo./FY)	7 – 3” Binders
	FMSS Records Reports (Monthly)	Document Type Date (Mo./FY)		2 – 3” Binders	
	Loan Booking Report	Document Type DLSFB No. Date (Mo./FY)		10 – 3” Binders	
	Loan Activity- CFO 58 R1	Document Type Date (Mo./FY)		2 – 3” Binders	
	DL Service System Transaction Summary Report	Document Type DLSFB No. Date (Mo./FY)		2 – 3” Binders	
	(FMSS) Trial Balance Report	Document Type Date (Mo./FY)		2 –3” Binders	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.2 Accounting	Monthly System Balance Reconciliation Worksheet	FARS/SLSS FY/Month		2 – 3” Binders	
	Process: SF 224, Statement of Transactions	Document Type Standard Form (SF) No. Date (Mo./FY)		2 – 3” Binders	
	DL Servicing System Trail Balance FARS (Monthly)	Document Type DLSFB No. Date (Mo./FY)		2 – 3” Binders	
	Consolidation Loan Transaction Summary Report			2 –3” Binders	
	DL System Non-Federal Collection Report			2 –3” Binders	
	Aging of Unapplied Payments			2 –3” Binders	
	Overpayment -Unapplied Refunds			2 –3” Binders	
	DL Servicing System Gross Loan Disbursement by Actual Disbursement Monthly Non-Consolidated Loan Summary By Fiscal Year Report			2 –3” Binders	
	Subsidiary Ledger			2 –3” Binders	
	Account Transaction Subsidy Report (Monthly)			2 –3” Binders	
	FARS Accounting Recycled Files Status Report			2 –3” Binders	
	Obligation/Disbursed Report			2” Binders	
	Non-Federal Collection Report Reconciliation of Origination Fees			Document Type Date (Mo./FY)	2 Binders
	Non-Federal Collection Report Reconciliation of Principal	Document Type FMSS GL 4262 000 Date (Mo./FY)		2 Binders	
	Non-Federal Collection Report Reconciliation of Interest	Document Type FMSS GL 4263 000 Date (Mo./FY)		2 Binders	
	Misrouted Checks	Document Type Date (Mo./FY)		3 Binders	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.2 Accounting	Refund Check Tracer			2 Binders	
	Agency Confirmation Report			1 Binder	
	Agency Confirmation Report vs. SF 1166			1 Binder	
	GSSBL Report #871 GSSBL Report #704 GSWHD Report #713 GSWHD Report #712 GSSBL Report #706 GSWHD Report #300 GSWHD Report #730 SF 1081 Report SF 215 Deposit Tickets 1166 Voucher Report Daily Posting Report GDACC741 Daily Suspense Report			Est. 1.4 M Pgs. Total	
	GSCRM Report #605 (Midas Report) GSFIS Report #551 (Midas Report) GSCRM Report #604 (Midas Report)				
	System Balancing Reports: 1. Sb080 LO/GAPS Schedule A Monthly 2. Sb090 LO/GAPS Schedule B Monthly 3. Sb100 LO/GAPS Schedule C Monthly 4. Sb110 LO/GAPS Weekly Aging Report 5. Sb120 LOS Summary Report Monthly	Document Type Sb No. Date (Mo./FY) Schedule (A, B, etc.) Originator (OL or LC)	Accounting Division	7 – 2” Binders	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.2 Accounting	6. Sb070 LO/GAPS Schedule A Daily				
	7. Sb130 LO/GAPS Schedule E Monthly Reconciliation				
	8. Sb010 LO/SVC Schedule A Daily				
	9. Sb020 LO/SVC Schedule A Monthly				
	10. Sb030 LO/SVC Schedule B Monthly				
	11. Sb040 LO/SVC Schedule C Monthly				
	Weekly Summary of Received/Closed XE Transactions: 1. Sb050 Loan Origination Weekly XE Report 2. Sb050 Loan Consolidation Weekly Summary of Received/Closed XE Transactions	Document Type Date (Mo./FY) Sb No. Originator (LO or LC)	Accounting Division Loan Consolidation	2 – 1” Binders	
	Test Cases/Conditions: 1. GAPS/LO Release 5.1 2. LO/SVC Release 5.1 3. GAPS/LO Release 6 4. GAPS/SVC Release 6 5. LC/CDS Release	Document Type Date (Mo./FY)Release No. Originator (e.g., GAPS/LO, LO/SVC)	Accounting Division	4 – 3” Binders	
	FARS Mntly. Reconciliation: 1. LOS-CDS-FARS Schedule E Mntly. Recon. 2. LC-CDS-FARS Schedule E Mnthly. Recon.	Document Type (LO or LC) Date (Mo./FY) Schedule		4 – 5” Binders	
	Sb060 Loan Consolidation Weekly Financial Report	Document Type LCsb060	Accounting Division Loan Consolidation	Unknown	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
7.3. Financial Reporting	FFEL 1130 GA Report	Document Name Guarantee Agencies No. Contributing State Date (End of Quarter Date)	Financial Reporting (Read Only – Typically 3 People) External Auditors (On- Site Contractor)	Est. 5,796 (36 Guarantee Agencies, 23 Pgs. /Report: Retain Last 7 Quarters)	
	OPAC Billings	Report Name Date (as of) Program Name Fiscal Year	Financial Reporting Accounting	2 Yrs. of Monthly Reports	
	FMS Journal Vouchers			Unknown	
	FMS 770, 771, 772				
	DCS 630 Report				
	Report on Receivables Due from Public – Schedule 9			Quarterly report back to 1995	
	New Debts Receivables – DIR 711			Approx. 75,000 (150 Copies of 500 Pgs.)	
	SFA PBO Audited Financial Statements			Approx 800 Pgs. (100/Report: Back to 1992-1993)	
	Schedule 8 Monitor of Agencies			Unknown	
	Direct Loan Interest Calculation			600 Pgs. (3 Yrs. x 200 Pgs.)	
	Accounting Procedures			Unknown	
	GSBL 703	Report Name/Date			
	GSBL 702				
	Department and SFA Financial Statement Audit: 1. Engagement Letter 2. Entrance Conference: a. Agenda b. Attendance c. Notes 3. Exit Conference: a. Point Sheet b. Pre-Draft c. Attendance List d. Notes	Document Type Fiscal Year Document Date	Entire CFO Channel GAO Auditors (SFA Coordinated)		

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.3. Financial Reporting	4. Steering Committee Meetings: a. Agenda b. Attendance 5. Notes Audit Status Meeting: a. Agenda b. Attendance c. Notes 6. PBC Meeting: a. Agenda b. Attendance c. Notes 7. Internal Control: a. Draft b. Comments c. Final 8. Compliance Report: a. Draft b. Comments c. Final 9. Opinion on the Financial Statements: a. Draft b. Comments c. Final 10. Management Letter: a. Draft b. Comments c. Final 11. Correspondence: a. Draft b. Comments c. Final 12. Confirmations 13. Legal Representation Letters 14. Management Representation Letters				

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.3. Financial Reporting	15. Financial Statements: a. Statements b. Notes 16. Overview PBC List 17. Other Audit Support 18. EDP Testing 19. Trial Balance: a. Pre-Close b. Post-Close				
7.4. Portfolio Management	Quarterly Treasury Reports transferred electronically to Treasury Department. Paper copy retained and is not to be scanned.	None	None	None	
7.5. Budgeting Support	Payroll Run includes: 1. Summary Page 2. Suspense Report 3. Overtime and Awards 4. Actual Payroll (File Copy – Not a Record.)	Document Type Employee Name Organization SSN Fiscal Year Pay Period	Limited Access to Budget Support Div.	Est. 20,000 Pgs. (1 Yr. – Orig. Hard Copy Maintained in HR)	
	Procurement Action Requests (PARs) and Support Documentation (Old Requisitions)	Procurement Request No./SD Common Accounting No. (CAN)		6,000 Pgs.	
	Requisitions and Support Documentation (New – Replaces Old Requisitions for Supplies and Services)	Requisition No./SD Accounting and Appropriation Data Purpose (e.g., Project Mgmt. Svcs.) Channel Vendor/Contract		4,000 Pgs.	
	Fund Balances (Mix of Electronic & Paper)	Document Type Date Year		100 Pgs./Yr.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.5. Budgeting Support	Budget Submissions: 1. Regular 2. Mid-Year (Includes Budget Calls for Formulation and Reference Materials)	Document Type Fiscal Year Submission Date Organizational Area		500 Pgs.	
	Allotments (Project Level)	Fiscal Year Fund Code (6-Digit Alpha/Num. Code)		200 Pgs.	
	Apportionments (Program Level)	Funding Appropriation Code Fiscal Year Date (Optional)		30 Pgs.	
	Available Funds Mix of Electronic & Paper	Fiscal Year		10 Pgs.	
	Accounts Receivable Materials: 1. Checks for Deposit 2. Emails 3. Letters/Correspondence 4. Vendor Support Material	Document Type Date		100 Pgs.	
7.6. Internal Review	OIG Audit Files: 1. Engagement Letter 2. Entrance Conference: a. Agenda b. Attendance List c. Notes 3. Exit Conference: a. Point Sheet b. Pre-Draft c. Attendance List d. Notes 4. Draft Audit Reports 5. Responses to Draft Reports 6. Final Audit Report	Document Type Audit Control No. Audit Start Date Audit End Date Audit Title Document Date	IRD Personnel CFO Officer Deputy CFO CFO Chief of Staff GAO Auditors	52,000 Total for IRD Division (Includes: 20,000 Standard 15,000 Lateral 6,000 Low Lateral 6,000 Annual 5,000 High Lateral)	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	7. Corrective Action Plans: <ul style="list-style-type: none"> a. Initial b. Updates 8. OIG Responses 9. Audit Closure Memo: <ul style="list-style-type: none"> a. OCFO Closure Memo b. OIG No Go Memo c. OIG Suspension Memo 10. Correspondence: <ul style="list-style-type: none"> a. Email b. Other 				
	Defaulted Borrower Studies: <ul style="list-style-type: none"> 1. NSLDS Query Information 2. Analysis of Sample: <ul style="list-style-type: none"> a. Selection of Sample b. Analysis c. Documentation 3. Report: <ul style="list-style-type: none"> a. Draft Report b. Comments on Draft c. Final Report d. Other 	Document Type Years (Note: Always Two Years, e.g., 97-98)			
	Questioned Cost Studies: <ul style="list-style-type: none"> 1. Background Data: <ul style="list-style-type: none"> a. Request for Data b. Program Review c. Audit d. Other e. Data Analysis 2. Report: <ul style="list-style-type: none"> a. Draft Report b. Comments on Draft c. Final Report d. Other 	Document Type Fiscal Year			

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	Potential NSLDS Costings: 1. Data: a. Report b. Queries c. Analysis 2. Reports	Document Type Date			
	IRD Reports: 1. Division Weekly Reports 2. IRD Accomplishments 3. IRD Data: a. Audit Status Report b. Audit Statistics c. CAP Reports d. SFA Data e. Other 4. Briefing Materials				
	Presentations: 1. Source Data and Information 2. Drafts 3. Final	Presentation Name Presenter Name Date of Presentation			
	GAO Audit: 1. Engagement Letter 2. Entrance Conference: a. Agenda b. Attendance List c. Note 3. Exit Conference: a. Point Sheet b. Pre-Draft c. Attendance List d. Notes	Document Type Audit Control Number Audit Start Date Audit End Date Audit Title Document Date			

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	4. Draft Audit Reports 5. Response to Draft Reports: a. Technical b. Formal 6. Final Audit Report 7. Letter to Congress 8. Corrective Action Plans: a. Initial b. Updates 9. GAO Concurrence 10. Correspondence: a. Email b. Other				
	CFO Contract Files: 1. Statement of Work (SOW): a. Draft b. Final 2. Comments on SOW 3. Independent Government Cost Estimate (IGCE) 4. Requisition for Supplies and/or Services 5. Technical Proposals/Cost Proposals 6. Evaluations of Technical Proposals 7. Contract Award Recommendation to CPO 8. Contract Award Document 9. Invoices	Document Type Contract No. Task Order No. Work Unit	IRD COTR		

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	10. Spreadsheet/Log of Contract Costs 11. Deliverables 12. Status Reports/Meeting Notes 13. Correspondence				
	FMFIA: 1. Request for Input 2. Editing Information 3. Response to OCFO	Document Type Date	IRD CFO Officer Deputy CFO CFO Chief of Staff GAO Auditors (Department Coordinated)		
	Department 5 Year Financial Management Plan: 1. Request for Input 2. Editing Information 3. Response to OCFO				
	Accountability Report: 1. Request for Input 2. Editing Information 3. Response to OCFO				
	Dept. Semi-Annual Report: 1. Request for Input 2. Editing Information 3. Response to OCFO				
	Dept. Strategic Plan: 1. Plan and Report 2. Input				
	Dept. Performance Report: 1. Plan and Report 2. Input				

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	OIG Semi-Annual Report: 1. Draft Report 2. Comments on Draft 3. Final Report		IRD CFO Officer Deputy CFO CFO Chief of Staff GAO Auditors (OIG Coordinated)		
	Compliance Supplements (A133): 1. Ideas for Guide 2. Draft Guide 3. Comments on Guide 4. Final Guide				
	SFA Audit Guide: 1. Ideas for Guide 2. Draft Guide 3. Comments on Guide 4. Final Guide				
	Lender Audit Guide: 1. Ideas for Guide 2. Draft Guide 3. Comments on Guide 4. Final Guide				
	GA Servicer Audit Guide: 1. Ideas for Guide 2. Draft Guide 3. Comments on Guide 4. Final Guide				
	OIG Work Plan: 1. Ideas for Work Plan 2. Draft Work Plan 3. Comments on Work Plan 4. Final Work Plan 5. SFA Extract				

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	SFA Annual Plan: 1. Ideas for Plan 2. Draft Plan 3. Comments on Plan 4. Final Plan		IRD CFO Officer Deputy CFO CFO Chief of Staff GAO Auditors (SFA Coordinated)		
	SFA Performance Plan Report: 1. Bi-Weekly a. Input b. Final 2. Quarterly a. Input b. Final 3. Annually a. Input b. Final				
	Congressional Testimony and Correspondence: 1. Dept. Testimony: a. Questions and Answers b. Other Input c. Final Testimony d. SFA Testimony 2. OIG Testimony: a. Input b. Final 3. GAO Testimony: a. Input b. Final 4. Corresp./Requests: a. Incoming Response Preparation b. Final Letter	Document Type Date Committee Name	IRD CFO Officer Channel) Deputy CFO CFO Chief of Staff GAO Auditors		

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.6. Internal Review	OIG Action Memoranda: 1. Memorandum 2. Response 3. Other	Document Type Action Memo No. Date Subject			
	OIG Investigative Program Advisory Reports: 1. Memorandum 2. Response 3. Other	Document Type Date Subject			
	OIG Other: Quality Control Review Data	Date			
	NSLDS: 1. NSLDS Data Quality Assessment, June 1999 a. Task Order b. Drafts c. Notes/Comments d. Final 2. NSLDS Briefing on Data Quality 3. Benchmark Reports a. FFEL b. Debt Collection c. Perkins d. Other	Document Type Date			
	IRD Procedures				
7.7. SFA Administration	OF-347, Order for Supplies or Services Receiving Report Invoice Check Quote Receipt RFP (Request for Proposal) SF30 Amendment (of Solicitation or Modification of Contract)	Document Type P. O. No. Requisition No. Vendor Name Vendor No. Fiscal Year Funding Appropriation Code	SFA Administration CFO Immediate Office	20 File Drawers	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.7. SFA Administration	ED Form BS-008, Transfer of Funds, Reimbursement or Advance of Funds: Agreement Between Fed. Agencies Other Agency Forms MOU/Interagency Agreement Federal Register Notice Transmittal(s) from Congress IRB's Sign-Off	Document Type Fiscal Year Performing Agency SFA Contact Person Basic Title of the IA Agreement No. Award No Funding Appropriation Code.		9,000 Pgs.	
	ED Form 5089, Printing and Reproduction Request (*Pink Copy) Supporting Documentation: 1. ED CAP Registration Docs. 2. Copy of OF-347 3. Invoice Form and Adjustments)	Document Type EDCAPS Requisition No. EDCAPS Award No. EPML No. Funding Appropriation Code		2,000 Pgs.	
	SF-1164, Claim for Reimbursement for Expenditures on Official Business Supporting Documentation: 1. Canceled Checks 2. Receipts 3. Electronic Requests 4. Other Supporting Docs.	Document Type Claimant's Name Date Signed by Claimant SSN Funding Appropriation Code		4,500 Pgs.	
	IMPACT Bank Statements for Purchase Cards Supporting Documentation: 1. Receipts 2. Withdrawal Slips 3. Other Supporting Docs.	Document Type Month/Year Person's Name Headquarters or Region Funding Appropriation Code		40,000 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.7. SFA Administration	AD-616, Travel Voucher (Temporary Duty Travel) Canceled Checks Receipts Electronic Requests Other Supporting Docs.	Document Type Last Name First Name SSN Start Date Authorization No. Funding Appropriation Code (Vouchers sorted by HQ or Region)		600 Pgs.	
	AD-202, Travel Authorization/ Advance	SSN Authorization No. Funding Appropriation Code		600 Pgs.	
	Application for Transit Benefit	Last Name First Name		200 Pgs.	
	Memos/Letters	Date Subject		Less Than 100 Pgs.	
	Reimbursement Exceptions: 1. Per Diem 2. Training 3. Meeting/Conference 4. Letters of Support 5. Other	Document Type Date Name Office Location		Less Than 50 Pgs.	
	Third-Party Checks: DCS Purchase Order/OF 347 SF 1164 Credit Card Payment Miscellaneous	Document Type Vendor No. Name of Payee (Last, First) Draft No. (Check No.)		100 Pgs.	

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 7.7. SFA Administration	TDC, Executive Officer Pre-Registration Certification Supporting Documentation: 1. Letter of Support 2. Correspondence 3. Other	Document Type Name of Applicant (Last, First) Date of Application Deadline Principal Office Executive Officer's Name (Last, First)		100 Pgs.	
7.8. Financial Management System Requirements and Testing	No paper records. All paper is a convenience copy of online data in EDCAPS.	None	None	None	
8. Acquisition and Contract Performance 8.1. Acquisition Planning 8.2. Contract Evaluation 8.3. Contract Development and Performance 8.3.1. Acquisition Development 8.3.2. Contract Performance	Contracts Materials: 1. Contracts 2. Modifications 3. Invoices 4. Task Orders 5. Solicitation Materials 6. Deliverables 7. RFPs 8. Proposals 9. Claims 10. Disputes 11. Letters/Correspondence	Document Type Contract No. Contractor Name Modification No. Invoice No. Task Order No. Solicitation No. Deliverable No. RFP No. Purchase Request (PR) No. Date	Contracting Officers Contracting Specialist CORs in Channels COR Asst. in Channels	200 Boxes x 5,000 Pgs./Box = 1,000,000 Pgs.	
	Policy/Research Materials	Document Type Subject of Research Title of Document Source of Research Date			

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) Acquisition and Contract Performance	COR Delegation	Document Type SFA Organization Date			
9. Human Resources	No Records. All Records are in the Custody of Dept. /HR.	None	None	None	No Records.
9.1. Compensation and Benefits					
9.2. Labor Relations					
9.3. Recruiting					
9.4. Performance Management					
10. Analysis					
10.1. SFA Performance	Direct Loan Repayment Statistics (8 editions)	Document Type Report Name Date	All SFA	All Documents Electronic	
	Students-Repayment: 1. Portfolio Summary 2. Accounting Net & Gross Loan Disbursement 757 3. Non-Federal Collections 661 4. Consolidation Transaction Summary Report 603 5. Regular Portfolio 600				
	Loan Origination: DL Servicing Statistics Report				
	CFO-Financial Reporting: Direct Loan Default Activity Report				
10.2. Program Analysis	None. All work products are electronic.	None	None	None	No Paper Records.
10.3. Program Development					

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
10.3.1. Grant Programs	Committee Files	Document Type Date Creator	Analysis – Program Development	6 x 5-Drawer File Cabinets	5-2
	Negotiated Rulemaking				5-2.1a
	Internal Committees				5-2.2
	Draft Regulations & Products				5-4
	Federal Register Files (Action Items)				8-1a
	Federal Register Files (Background)				8-1b
	Administrative Adjudication Cases (Copies)				8-3
	Legal Decisions/Opinions/Interlocution				8-6
	Correspondence Files (Mail, Internal Memos, Correspondence Logs)				6-4
	Comments – Interagency, National, Advisory and International Committees				5-2.1
	Research Materials				3-2
	Audio Cassettes				2-1
	General Office Memoranda & Files				1-2
	Electronic Documents				1-9
	Email Files				1-10
	Department Brochures/Pamphlets				1-13
	Video Tapes				2-4b
	Audit Reports (incl. Non-Fed. QCRs)				16-1
	Non-ED OIG Audit Reports				16-2

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 10.3.1. Grant Programs	Legislative History, Hearings, etc.				8-2
	Dear Colleague/Partner Letters				1-13
	Q & A's				1-13
	Handbooks & Publications Applications				1-13
	GAO Reports				3-2
	Association Directories Reproducible Tax Forms/ Instructions IRS Notices				6-2
	Internal Discussion Papers				Unknown
	Negotiated Rulemaking			8 x 5-Drawer File Cabinets	5-2.1
10.3.1.1. FFEL	Draft Regulations & Products				5-4
	Federal Register Files				8-1
	Legislative Materials				8-2
	Legal Decisions/Opinions				8-6
	Correspondence Files				6-4
	Legislative Correspondence				6-4
	Comments				5-2.1
	General Office Memoranda and Files				1-2
	General Drafts				1-9
	Email Files				1-10
	Audit Reports (incl. Non-Fed. QCRs)				16-1
	Audit Reports (incl. Non-Fed QCRs): Non-ED OIG Audit Reports				16-2

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
10.3.1.2. Perkins	Draft Regulations & Products			5 x 5-Drawer File Cabinets	5-4
	Federal Register Files				8-1
	Correspondence Files				6-4
	Legislative Correspondence				6-4
10.3.2. Direct Loans	General Office Memoranda and Files			5 x 5-Drawer File Cabinets	1-2
	General Drafts				1-9
	Email Files				1-10
	Negotiated Rulemaking and Comments				5-2.1
	Internal Committees				5-2.2
	Draft Regulations & Products				5-4
	Correspondence Files				6-4
	Federal Register Files				8-1
	Legislative Materials				8-2
	Legal Decisions/Opinions				8-6
10.3.3. General Provisions	Committee Files			10 x 5-Drawer File Cabinets	5-2
	Negotiated Rulemaking				5-2.1
	Internal Committees				5-1.2
	IPTs/Workgroups				Unknown
	Draft Regulations & Products				5-4
	Federal Register Files				8-1
	Legislative Materials				8-2
	Legal Decisions/Opinions				8-6
	Correspondence Files				6-4
	Legislative Correspondence				6-4
	Comments - Interagency, National, Advisory and International Committees				5-2.1
	Research Materials				3-2
	ATB Materials				3-2

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
(Continued) 10.3.3. General Provisions	False Certification Materials				1-2
	General Office Memoranda & Files				1-2
	General Drafts				1-9
	Email Files				1-10
	Computer Matches & Agreements – Privacy Act Files (5 U.S.C. 552a)				12-2
	Audit Reports (incl. Non-Fed QCRs)				16-1
	Audit Reports (incl. Non-Fed QCRs): Non-ED OIG Audit Reports				16-2
10.3.4. PDD Library Resource and Reference Materials/Archives	Applications			Included in the 10 x 5-Drawer File Cabinets of General Provisions (Section 10.3.3.)	1-13
	Legislation-Fed. Register Files				8-1
	Legislation- Legislative Materials				8-2
	Dear Colleague/Partner Letters				1-13
	Q & A's				1-13
	Handbooks & Publications				1-13
	GAO Reports				3-1
	KPMG Peat Marwick Financial Ratios and Financial Responsibility Study				3-2
	Association Directories				6-2
	Reproducible Tax Forms & Instructions				6-2
	NASFAA Encyclopedia				6-2

Channel/Division	Document Name	Index Information	Document Access	Document Volume	Record Schedule
11. Communications					
11.1. Freedom of Information and Privacy Act	FOIA Requests Privacy Act Requests	Document Type Name of Requestor Tracking No. Filing Date	Communications (Read/Write)	Unknown	Requests Dent in Full – 2 Yrs.; Requests Withheld – 6 Yrs.
11.2. Internal Relations	All Document in Electronic Format.	None	None	None	No Paper Records
11.3. Media Relations					
11.4. Community Relations					
12. SFA University	COTR Documents: 1. Manual 2. Draft Manuals 3. Business Proposals 4. Management Plans 5. Design Plans	Document Type Task Order No. Date	All SFA University Except for Business Proposals	Est. 36,000 Pgs.	
	Pre-Certification Workshop Roster		All SFA University	Est. 600 Pgs.	
	Fiscal Officer Workshop Roster				
	Original Training Guide			Est. 10,000 Pgs.	